

FY 2005 Annual Report Application User's Guide

October 2004
Produced for PPC/DEI
by LTS Corporation under contract no. RAN-C-00-03-00032-00

Table of Contents

ACKNOWLEDGMENTS.....	5
GETTING HELP.....	6
INTRODUCTION AND OVERVIEW	7
STEP ONE: LAUNCHING THE APPLICATION	11
STEP TWO: ENTERING BUDGET DATA.....	13
STEP THREE: STRATEGIC OBJECTIVE AND OPERATING UNIT DATA.....	38
STEP FOUR: DOCUMENT PROOFING AND REVIEW	55
STEP FIVE: TRANSMISSION OF COMPLETED ANNUAL REPORT	56
ANNEX A: PRIMARY/SECONDARY EMPHASIS CODES, DEFINITIONS, CONTACTS.....	57
ANNEX B: DEPT. OF STATE/USAID STRATEGIC AND PERFORMANCE GOALS	81
ANNEX C: DRAFT -- PROGRAM AREAS AND PROGRAM COMPONENTS: DEFINITIONS .	83

Acknowledgments

Application Design and Development: LTS Corp: Dennis Nagle, Aleks Teterin, Georgia Baldwin;
PPC/SPP: Scott McKissock

Team Leader: LTS: Christine Nagle

For PPC/SPP:

Parrie Henderson O’Keefe

Getting Help

Help within the application:

You can select the “F1” button from your keyboard to bring up help; you can select “Help” from the main toolbar at the top of the application; or you can “Right click your mouse button” within any section of the application to access context-sensitive help.

Via Email and Telephone

Technical questions about the Annual Report Application should be addressed to ARAPP@dec.cdie.org. Or you can call 301- 562-0641, 8:30 AM to 4:00 PM EST.

Questions about how to report data should be sent to Parrie Henderson-O’Keefe, PPC/PC, at phenderson@usaid.gov

Via the Internet

CDIE also provides technical support online at <http://cdie.usaid.gov/ar>. Check the “Frequently Asked Questions” section of this page regularly for updated help.

Help materials that come with the Application, accessible through the help menu:

The FY 2005 Annual Report Guidance, PPC’s official instruction for how to prepare this year’s Annual Report.

A mock CBJ submission for the fictitious country of Freedoni.

A mock performance narrative report for the fictitious country of Freedoni.

State/USAID Performance Goals

Emphasis Areas Codes (Primary and Secondary), definitions and contacts

Program Components and definitions

Introduction and overview

The Annual Report Application will be used once again this year to collect program and resource information for a variety of purposes including the USAID Budget Justification to Congress. The Annual Report submission includes both the narrative and budget portions of the Annual Report. Use of this application is mandatory.

Your work in the FY 2005 Annual Report Application will consist of entering budget data, CBJ data and Performance Narrative data into simple-to-use forms that can then be printed as Word or Excel reports. The budget tables have the look and feel of last year's budget tables, with some minor changes. The performance narrative section this year is organized by SO vs. Operating Unit level information rather than by CBJ vs. "all else," but each section is clearly labeled as to where it will go.

Upon completion, the application automates the process of transmitting this data to AID/Washington using Internet Web services.

The steps one would typically take to prepare the Annual Report submission via the application are as follows:

1. Launching the Application
2. Entering the budget data into the budget tables
3. Adding new SOs if needed
4. Entering the CBJ and performance narrative text, indicators and results frameworks into the narrative section
5. Entering Performance Measures
6. Proofing/Reviewing/Printing
7. Transmission

What's New:

Budget:

- The budget portion of the application this year includes tables for the Agency's annual call for data on minority serving institutions (MSIs) and global development alliance (GDA).
- Emphasis Coding: It is no longer necessary to complete primary emphasis coding whenever a sub-sector level is changed.

Workforce:

- Expanding on the work done last year to capture the estimated full cost of various functions from program management to mission support, **all** mission staff will be allocated to SOs this year. However, changes have been made that should simplify this process.

Narrative:

- Incorporates some changes in accordance with the findings of the Business Model Review (BMR). For example, the AR will begin to function as a rolling strategic planning document.
- Organizes the narrative section along the division of “Operating Unit level reporting” and “SO level reporting.”
- Introduces the concept of “program components” in response to the findings of the BMR.
- Includes a new process for certifying SO linkages to the Performance Goals of the Joint State/USAID Strategic Plan.
- Collects only minimal necessary information for the Global HIV/AIDS focus countries.
- Changes the location of where new SOs are added: from the U.S. Financing Table to the new SO Profile table.

Performance Measures:

- Includes some new indicators, which appear in red, and requires targets for measures.

Key features:

- Data is entered only once into the application.
- Portions of the budget data will appear in the appropriate sections of the CBJ program data sheets.
- The application will be pre-populated with FY 2001 - FY 2005 budget data for all Strategic Objectives appearing in the FY 2005 Congressional Budget Justification.
- Upon completion, the data is automatically transmitted to AID/Washington via web services.

Installation

System Requirements

To run the application, you'll need the following:

Pentium grade PC or better with Windows XP or Windows 2000 Operating System.

15 MB free disk space on a local drive, for either the network version or the stand-alone version.

128 MB of RAM (minimum)

MS Office XP or MS Office 2000

Internet connectivity (for automated transmission feature)

A LAN connection (optional, for use with multiple users)

The **recommended** screen resolution for display is 1024 by 768 pixels.

Installation instructions

Installation instructions are being provided to each Operating Unit's system administrator. If you have any questions regarding the installation on a stand-alone workstation or in a client-server configuration on a LAN please see your system administrator.

Installing Microsoft MDAC files:

The AR Application requires version 2.6 or later of the Microsoft Data Access Components to run. Most Office XP or Office 2000 versions of Microsoft Office will have these files already. If these files are not present, you'll get an Application error when you attempt to launch the Application.

Using the Application

A note about sources and accuracy

The SO numbers and names that come with your Application are the same SO numbers and names that were submitted for last year's CBJ. Strategic Objective numbers and names reflect what was in last year's CBJ submission, unless updated by an AID/W regional bureau. Every effort has been made to ensure that what you get in the FY 2005 Application is accurate. However, you do not need to use all SOs that are listed in the SO list. If a SO name is incorrect you can edit that name from the "Tools" menu selection labeled "Change Strategic Objective Name" ONLY. If a particular Strategic Objective is no longer being used, **do not** select that SO in the US Financing Table, the SO Appropriations Table or the SO-level narrative table. That way, an incorrect or inactive SO will not appear on any budget request or performance narrative section of your Annual Report.

To ADD an SO that has existing obligations and expenditures, add it from the **SO Profile Table on the Narrative** portion of the application; this is a change from last year. For a "new" SO without FY 2002 or FY 2003 obligations or expenditures, ADD it from the SO Appropriations Table.

We recommend that you carefully review the data included in your application to ensure that all objectives are present and accounted for. You can add new SOs from the SO Profile Table as described above, when necessary.

Step One: Launching the Application

Double click on the application icon the installer placed on your desktop. This should be called the “FY 2005 Annual Report.” The application will open with a list of eleven budget tables, starting with US Financing. You will also see two “tabs” at the top of the list of tables, one labeled “Budget” and the other labeled “Narratives.” Clicking on the “Narrative” tab will open a screen displaying two main tabs at the very top, “Strategic Objective” and “Operating Unit,” for the performance narrative section of the Annual Report, with additional tabs under each of the main tabs.

Menus

There are five selections in the toolbar appearing at the very top of the Application. They are: “File;” “Reports;” “Tools;” “Submit” and “Help.” “Submit” should only be used when all budget, CBJ and Performance Narrative data is completed and ready to be returned to AID/W. “Help” has been included to assist you in using the application.

File

The file menu contains only the Exit command to quit the Application. NOTE: EXIT only closes the Annual Report Application, not any MS Word or Excel sessions you might also have running concurrently.

Reports

The Reports menu allows you to generate and save a variety of standard reports, user reports and custom reports. See Section 10 under Step Two for a more detailed explanation of the report generator function.

Tools

The Tools menu allows you to **Change a Strategic Objective Name** from anywhere within the Application. If you are in a particular table, such as **SO Appropriations**, and notice that the name for a particular Strategic Objective is incorrect, go to the tool bar at the very top of the Application and select “Tools;” then select “Change Strategic Objective Name.” A list of existing SO numbers and names appears. Highlight the SO name you wish to change. Go to the bottom of the screen and revise/edit/change the SO name appearing in the “New Name” box. Be sure to select the “Change Name” button when you have completed the new name change in order to save the name change.

Please Note: If you are in a specific table, such as “SO Appropriations” or “SO Level Performance Narrative” when you change a SO name, you may have to close out of that table and re-enter it in order for the name change to take effect.

Help

The help menu displays many sub-menus for help on each section of the Application. In addition it provides the user with the FY 2005 Annual Report Guidance in its entirety, a list of the Dept. of State/USAID Performance Goals used within the Application, the Emphasis Area Codes, Definitions and Contacts, and the Freedomi models for both the CBJ and Performance Narrative. It also gives information regarding the current version of the Annual Report Application you are running (“About”). If any problems are encountered with running the Application, your system administrator may need to

send this information to AID/W. Release Notes will also appear under this menu if it is necessary to send additional releases or versions of the Application to the field to fix “bugs.” The Release Notes will explain what “problems” the latest release of the Application will correct.

Multiple Users

The Application supports multiple users entering information simultaneously as long as they are not attempting to enter information in the exact same table as another user at the exact same time. However, you will not be able to see changes made by another user working simultaneously on the Application until you exit and return to the Application. To prevent multiple submissions and inaccuracy in data, Missions should ensure that the information in the Application is carefully reviewed before final submission to Washington.

Step Two: Entering budget data

Working with budget tables

In general, within any of the budget tables, once you have entered a number in a cell in a table, you can use the Tab key, the mouse, or the Arrow keys to move from that cell in order for the Application to save that number and to calculate or recalculate total figures. Pressing the Enter key at any point causes the changes typed to take effect and all cells in the table will be recalculated.

1. US Financing

General Instructions

The US Financing table is modeled after the table that was used in last year's Annual Report Application. Obligations and expenditures through September 30, 2003, are populated from last year's CBJ, but you can change them as necessary.

Move from cell to cell using the mouse or the tab or arrow keys. Switch between SOs using the drop down box at the top of the form. Any changes you have made will be saved automatically. Operating units are requested to fill out the top portions (reflecting actual obligations and expenditures) before completing any other table, as information here will feed into the SO Appropriations Table.

Please remember, the U.S. Financing table is for entering obligation and expenditure data (not appropriations data).

Calculations

The information that appears in the US Financing table is related to that in the SO Appropriations table and vice versa. These relationships are noted in the form. For example, the unliquidated values as of September 30, 2004, for a particular SO and Appropriation will appear in the program table as the starting pipeline for 2005. Similarly, "Planned Fiscal Year 2005 NOA" obligations will appear within the US financing table once they have been entered in the program table. Pressing the Enter key at any point causes the changes typed to take affect and all cells in the table will be recalculated.

Viewing and printing the tables

To either view or print the US Financing report, click on the "Excel" button. The Application will open Microsoft Excel and generate an Excel spreadsheet version of the report. The excel spreadsheet contains formulas used to calculate the amounts found in this report. You can print a copy of this report using the print function within Excel. Please note that it will not be possible to make changes to the printed version of the report. If changes are necessary, close the report; make the changes on the form, then click on the "Excel" button once again to generate a new report.

To create a spreadsheet that contains the US Financing tables for all SOs, press the "Excel All SOs button." Each SO will appear as a separate spreadsheet page.

Adding Strategic Objectives

Please remember that this year you cannot add new Strategic Objectives from the US Financing Table. Please go to the SO Profile table found in the Narrative section under the main “Strategic Objective” tab.

2. SO Appropriations

We anticipate that multiple transmissions of the database will be necessary to capture all data for the budget cycle. Initial budget data for the CBJ (FY 2004 through FY 2006) will be due by December 17th. Once the control numbers for FYs 2005 and 2006 have been determined, your bureau will provide these levels to you and the budget data can be revised and retransmitted. Your bureau will notify you when to submit your FY 2007 request data, but it will be submitted in conjunction with the MPP process and must be coordinated with your embassy.

This section breaks out each SO by the Agency’s pillar/sector areas. For the December 17th deadline, these tables must be filled out for each FY 2005 to 2007. (FY 2004 data will be pre-populated with what we have in the current database. **Operating units are responsible for updating these levels to reflect their final FY 2004 control levels**). All tables should reflect actual appropriated levels, or request levels, as appropriate. Do not include obligations data here. For the out-years, please use the FY 2006 control and FY 2007 request tables for your main data entry. Instructions for use of alternate tables varies by bureau; please see bureau specific guidance for details.

The SO Appropriations table will also be used to collect primary and secondary emphasis coding for 2004 through 2006. In these years, the sub-tables for each pillar will have an associated Emphasis Coding screen. Primary and secondary emphasis coding for FY 2004 are due by the December 17 deadline; FY 2005 and 2006 coding will be required later. No coding is required for FY 2007.

Select the fiscal year and scenario

Two drop down boxes at the top of the form display the currently selected fiscal year and appropriation. Each combination of these values corresponds to a single sheet in the program budget request spreadsheet that was used in last year’s Annual Report Application. To change the “sheet,” use the dropdown boxes to select the combination of fiscal year appropriation with which you wish to work. Columns for “Starting Pipeline,” “Carryover,” “Estimated SO Expenditures” and “Est. SO Pipeline End of FY” appear only for fiscal years 2005 and greater. 2005 Values for “Starting Pipeline” and “Carryover” are derived from the US Financing table. For 2005 and 2006, the starting pipeline values are determined by the “Est. SO Pipeline End of FY” values for the previous year.

2001 - 2003 Actual levels for all relevant appropriations have been included in this year’s application. However, these numbers are displayed in gray and cannot be changed; they are there for information purposes only. Levels for 2004 - 2006, which have been updated in Washington for the BPBS and other exercises, are also included as a starting point.

Enter Request Levels

Enter request level amounts for FY 2005 to 2006 as you would in a spreadsheet. All values entered are automatically saved.

Complete necessary program category forms

When entering values for EGAT, Global Health or DCHA pillar areas, you will need to fill out a corresponding “Sector” form, signaled by the buttons on the top left turning red. Within the sector forms, totals, which do not match their columns on the main table, will also appear in red. If you attempt to close out of these tables without the totals matching, you will receive a message stating, “Values must match those on the summary table before this table can be closed.” Once the totals match, the total in red will change to black and the table can be closed.

Checking Primary Emphasis Codes

The main SO Appropriations form has a “Check Codes” button. Clicking this will open a table that shows all combinations of fiscal years/scenarios for which you have appropriations. Clicking the “Check Primary Codes” button turns the dollar value for a pillar red if the primary codes for that pillar are not in sync with the values entered for the sectors. For the initial December submission, 2004 will be checked; for the later submission, 2005 and 2006 will be checked. You will need to go into this table to confirm no pillars are “red” before submitting the database.

Emphasis Coding

Similar to last year, within the pillar forms there will be an “**Emphasis Coding**” button at the top left hand corner of each pillar form, to be initially used for submitting FY 04 level emphasis codes. On the emphasis coding screen are two tabs, one for primary codes and one for secondary codes. On the **primary coding** tab, the values entered for each sub-sector will appear in the row labeled “Control”, together with the primary codes commonly associated with that sub-sector. As in the “Pillar” forms, the color red indicates that the values entered for the primary codes are not in sync with those on the pillar table and need to be adjusted. A definition and point of contact for each primary code appears by selecting the “?” button. Realizing that coding is often performed as a later step, typically with the help of technical personnel, **it is no longer necessary** to complete primary emphasis coding whenever a sub-sector level is changed.

You will be allowed to exit the Primary Code screen without having completely entered data for ALL the relevant SOs. However, if coding is not complete, you will receive a warning indicating that all coding is not complete. Primary coding **must** be completed for FY 2004 before the application is submitted back to Washington. There is also a “check” for the completeness of primary coding before the application can be submitted. See the help for “*Step Five: Transmission of completed Annual Report*” for more information on this feature.

The secondary codes are entered in a similar manner, the difference being that there is no requirement that the entries will add to the total for a given SO. Secondary codes are “cross-cutting,” in the sense that an appropriated dollar might be assigned many secondary codes. You will be notified if an SO has not

been assigned any secondary codes, and given the option of adding them before closing the form. A definition for each secondary code appears by selecting the “?” button.

The “Help” for Emphasis Coding includes a complete list of Emphasis Codes, their definitions and names of persons in the AID/W pillar bureaus to contact with any questions you may have. (You can also find them in the Supplemental References to the AR Guidance on the website:

<http://cdie.usaid.gov/ar/>)

Printing emphasis codes. The primary and secondary codes selected for each SO will appear on the printed SO Appropriations spreadsheet available from the main SO appropriations table by selecting “Excel,” to print an excel spreadsheet for the fiscal year and appropriation scenario displayed on the screen, or “Excel – All Tables” to print an excel spreadsheet for all fiscal years and scenarios. The primary and secondary codes will appear on the appropriate pillar table worksheet rather than the main summary page; e.g., the health codes will appear on the worksheet that breaks out the health pillar budget request.

Add New SOs to the fiscal year/appropriation

When pipeline or carryover data is entered on the US Financing screen for SOs, the SO will appear on the SO Appropriations table, so you will not need to add them. **SOs** for which there is no pipeline or carryover data can be entered through the SO Appropriations table using the “Add SOs” button. Select the SO(s) you wish to add, and hit the “Select SOs” button. You will then be able to enter budget requests for that SO on the SO Appropriations table. Highlight the SO you entered to have it appear on the screen for the appropriate fiscal year and scenario. If the SO you wish to add is a completely new SO, you must first go to the SO Profile Table under the Narrative/Strategic Objective tab to add the new SO to the master list of SOs for your operating unit.

NOTE: The PL 480 appropriation is handled differently than the others. It is not included on the US Financing form; so all budget information is entered on the program table. Select “PL 480” and the appropriate year and a box will appear at the bottom of the screen. You can either enter the PL 480 amount for the year, or select SOs if you would like to break down PL 480 money by SO. If you have questions about which route to take, consult your bureau.

Reviewing the work /Printing the report

You can use the “Excel” button at any point to view and/or print the tables as they will appear in the final document. The main table will be the first page of the spreadsheet, and the pillar tables will appear as additional pages. Be sure to make all changes within the Application, and not on the spreadsheet; changes made on the spreadsheet will not appear in the Application and will not be submitted to Washington.

2A. Economic Growth, Agriculture and Trade Pillar

The EGAT pillar table allows you to divide money requested for EGAT into various categories. When values are entered in the EG and Trade Capacity, Agriculture, Environment, or Education columns on the main budget request form, the EGAT button on the left of the form becomes enabled. You will also

be taken directly to this table if you attempt to close the main budget request form when EGAT values are out of sync.

Each SO that contains requests for EGAT will have a corresponding line on the EGAT pillar table. Columns display the amounts entered on the EG and Trade Capacity, Agriculture, Environment, and Education columns on the main budget table for each SO. Beside these columns are the “Totals from this table” columns that will appear in red if the values are out of sync. Enter funds into the adjoining cells until the sums from the two tables are equal.

The Agriculture column from the main budget table is not subdivided on the EGAT Pillar table, so the values from this are not editable in this form.

Transfers appear on the bottom of the screen. Adjust these values in a similar way.

Note: The program will prevent you from leaving this form until all values are in sync.

Moving from cell to cell in the table

Once you have entered a number in a cell in a table, use the tab key, the arrow keys, or the mouse to move from that cell in order for the Application to save that number and recalculate total figures. Hitting the ENTER key after inputting data will recalculate the totals.

Viewing/Printing the table

To view the EGAT table in Excel format, go to the main budget request table and hit the “Excel” button. The EGAT table will appear as a spreadsheet page.

2b. Global Health Pillar

The health pillar table allows you to divide money requested for health into various categories. When values are entered in the Health column on the budget request form, the “Health” button on the top left of the form becomes enabled. You will also be taken directly to this table if you attempt to close the budget request form when health values are out of sync.

Each SO that contains requests for health on the main budget table will have a corresponding line on the health pillar table. The column on the far right, “Health Total from Summary,” contains the amount entered in the Health column for each SO. “Health Total from this table” contains the sum of the values entered, and will appear in red if it does not match the summary value. For each SO that appears in red, distribute the funds among the sector columns until all values are in sync.

Transfers appear on the bottom of the screen. Adjust these values in a similar way.

Note: The program will prevent you from leaving this form until all values are in sync

Moving from cell to cell in the table

Once you have entered a number in a cell in a table, use the tab key, the arrow keys, or the mouse to move from that cell in order for the Application to save that number and recalculate total figures. Hitting the ENTER key after inputting data will recalculate the totals.

Viewing/Printing the table

To view the Global Health table in Excel format, go to the main budget request table and hit the “Excel” button. The Global Health table will appear as a spreadsheet page.

2c. Democracy, Conflict and Humanitarian Assistance Pillar

The DCHA pillar table allows you to divide money requested for DCHA into various categories.

When values are entered in the DG, Human Rights, Humanitarian Assistance, or Conflict columns on the main budget request form, the DCHA button on left of the form becomes enabled. You will also be taken directly to this table if you attempt to close the budget request form when DG or Human Rights values are out of sync.

Each SO that contains requests for DCHA on the main budget table will have a corresponding line on the DCHA pillar table. Columns display the values entered in the four DCHA Sectors. “DG Total From Summary” and “Human Rights Total from Summary” display the funds entered on the main budget table. Make adjustments in the adjoining columns if “Totals from this Table” columns do not match. Wherever there is a discrepancy, the values will be displayed in red.

The values in “Humanitarian” and “Conflict” match those entered on the main budget table. Since they are not subdivided, it is not necessary to edit them on this form.

Transfers appear on the bottom of the screen. Adjust these values in a similar way.

Note: The program will prevent you from leaving this form until values are in sync.

Moving from cell to cell in the table

Once you have entered a number in a cell in a table, use the tab key, the arrow keys, or the mouse to move from that cell in order for the Application to save that number and recalculate total figures. Hitting the ENTER key after inputting data will recalculate the totals.

Viewing/Printing the table

To view the DCHA table in Excel format, go to the main budget request table and hit the “Excel” button. The DCHA table will appear as a spreadsheet page.

3. Workforce Planning

USDH and non-USDH Staffing Requirements. “This section covers all categories of personnel that are reported in e-World. Indicate the actual level for the end of FY 2004 and the request level for FY 2005 – FY 2008. These data are essential for the Agency to do adequate workforce planning which includes

designing the Foreign Service recruitment plan so that it meets the Agency's future needs. For requested levels, it is crucial that each operating unit consider the work that needs to be done and the skills needed to do it, rather than the backstops or employment categories (e.g. USDH, FSNPSC, USPSC, etc) of the employees currently on board.. In other words, the staff requirements that you report for FY 2005 – FY 2008 request levels must reflect the “to be” mission, not the “as is” mission.

Changes to get to the “To Be” organization include the mix and the numbers of employees by Backstop and by employment mechanism. For example, if you need to convert positions currently designated as **USPSC, TAAC or RSSA/PASA** etc to USDH due to the nature of the work, then report them as USDH for the out years (FY 2005 on or whenever you think the conversions should happen). Discuss these changes in your narrative giving the number and type of positions you believe should be converted to USDH and why.

USDH Staffing Requirements: Show the USDH in each occupational backstop as of the end of FY 2004 - FY 2008. Requested levels, FY 2005 – FY 2008, must reflect the Mission's “to be” organization and not the status quo.

- For FY2005-FY2008, the requests should match the position requirements for the operating unit's Strategic Plan without regard to the backstop of the current incumbent.
- GDO positions should be listed under the backstop that reflects the primary discipline of the position, e.g., BS-50, BS-40. Only Democracy and Governance positions should be reported as BS-12.
- RUDO positions were converted to BS- 40.
- For the Foreign Service Limited special program that began in FY 2004 and is commonly known as the “85”, please make sure that these show **as program funded**.

Non-USDH Staffing Requirements: Show the number of non-USDH by category and the occupational backstop that most closely reflects the work being done.”

New Workforce Requirement: Expanding on the work done last year to capture the estimated full cost of various functions in an Operating Unit, from program management to mission support, all mission staff will be allocated to SOs this year. The Annual Report Guidance provides specific details on complying with this requirement, most of which is provided here. This Guidance can also be found in the Help section of the application for the Workforce Planning Table.

Since the changes in the Workforce table are significant this year, we have included a large portion of Annex VIII of the FY 2005 Annual Report guidance in this user's guide. The following is taken from Annex VIII:

“Data Entry Changes: As the post-mortem made clear, this table imposed quite a data entry burden. We have made changes that should make completing it easier this year. As a starting point, the table will be populated with last year's entries, so it will only be necessary to modify the table where plans have changed. Several commented that in cases where there were many positions of a particular backstop, it was difficult to differentiate positions as they were entered. To simplify this, we have added a way to record a “Position Name” to aid in identifying each position. Note that AID Washington will not make any use of the information recorded here; it is simply provided as a way to make data entry easier. Realizing that operating units may choose to identify their positions differently, the naming scheme used

is left up to you. However, privacy concerns dictate that you do *not use a position name that may reveal the identity of the person currently holding a position*. Names, social security numbers, and the like should not be used. Again, the use of this identifier is voluntary and you may choose to use it for some backstops and not others. Finally, as an additional way to review the table, it includes totals by backstop for each year, as well as grand totals.

Entering a Position: For each position in your operating unit, press the “Add” button next to the position's backstop, then select a funding and employment type. For USDH positions you will be prompted for service and grade, otherwise you will enter the cost of the position as described below. If the position was filled on September 30, 2004, check the appropriate box – these positions should correspond to those reported in the September 30, 2004 staffing pattern. For 2005–2008, check those years where you anticipate having a staffing requirement. The information in the out-year tables will clearly be estimates for budget planning purposes ONLY. Nonetheless, your compliance on this is critical to the Agency.

Assigning Staff to Strategic Objectives: To respond to the Presidential Management Agenda and requirements from OMB, the Agency is working towards measuring activity-based costing and this section of our data collection contributes to that goal. Toward that end, for the past two years we have asked that sector management staff be assigned to the strategic objectives toward which they work. This year the requirement has been extended to all staff. Existing sector management assignments have been retained, but the remaining positions which have not been assigned to SOs are shown in red. These positions can be assigned to SOs in the same manner as sector management positions. Alternately, you can set up “Standard SO Assignments” using the button on the top left. Here you can specify, for example, that one SO occupies 40% of the remaining position's time, while three others occupy 20% each. This breakout is then applied across all positions that have the “Use standard SOs” checked – and this is checked by default. Any changes made to the standard SOs later will be reflected by all positions that use them. The standard SO assignments cannot be used for sector management positions.

Some positions require work involving SOs associated with more than one operating unit. In these cases, check the box on the bottom of the screen and enter the operating unit, SO number and name, and fraction of time spent on each SO, being careful that the sum of the assignments equals 100%.

DCHA funded staff: A number of positions are based in overseas missions but are funded by DCHA. Enter these positions as you would the others, but check the “DCHA Overseas” box.

OE-funded Non-USDH Staff Costs: Enter the costs of the salaries and benefits of OE-funded staff only – do not enter the loaded costs..

ICASS Working Capital Funded (WCF) Staff Costs: Enter the cost of the salaries and benefits of staff funded through the ICASS WCF only – do not include any support costs in this figure.

Program funded USDH: Enter the service and grade as you would for OE funded USDH. In addition, enter all program funded administrative costs associated with the position. Note that this number should include support costs *only*, and exclude salary and benefits.

Program-funded Staff Costs: To determine the true cost of doing business, operating units must report all program-funded administrative costs. Please allocate all program-funded administrative costs (using annualized averages) to program-funded staff for FY 2006. Administrative costs include both contract and non-contract costs. Contract costs cover salaries and benefits and non-contract costs cover all staff support costs, including costs not directly attributable to individual personnel. See the list below for the types of costs to include as a program-funded administrative cost.”

Moving from cell to cell in the table

Once you have entered a number in a cell in a table, be sure to either use the Tab key, or the mouse to move from that cell or the ENTER key in order for the Application to save that number and recalculate total figures.

Viewing/Printing the report

To either view or print the Workforce Planning requirements report, click on the “Excel” button. The application will open Microsoft Excel and generate an excel spreadsheet version of the report. You can print a copy of this report using the print function within Excel. Please note that it will not be possible to make changes to the printed version of the report. If changes are necessary, close the report; make the changes on the form, then click on the “Excel” button once again to generate a new report.

See Sample Workforce Planning Screens below.

2005 Annual Report - Ghana

File Reports Tools Superuser Help

Standard SO Assignments

Workforce Planning

Positions that need to be assigned to SOs are shown in red

Excel

Close

Add Slot	Backstop / Position Name	Employment Type	Funding Type	Service	Grade	Cost	SOs	DCHA	Sept 31 2004	2005 Plan	2006 Plan	2007 Plan	2008 Plan
	Senior Management												
Add	01 - SMG												
Edit	No position name given	USDH	OE Funded	FS	1	N/A	Std		04	05	06	07	08
Edit	No position name given	USDH	OE Funded	SFS	3	N/A	Std		04	05	06	07	08
	Total 01 - SMG								0	2	2	2	2
	Program Management												
Add	02 - Program Mg.												
Edit	No position name given	USDH	OE Funded	FS	1	N/A	Std		04	05	06	07	08
Edit	No position name given	FSN TCN PSC	OE Funded	N/A	N/A	20	Std		04	05	06	07	08
Edit	No position name given	FSN TCN PSC	Program Funded	N/A	N/A	11	Std		04	05	06	07	08
Edit	No position name given	FSN TCN PSC	Program Funded	N/A	N/A	16	Std		04	05	06	07	08
	Total 02 - Program Mg.								0	4	4	4	4
Add	94 - Project Dvpm Officer												
Edit	No position name given	USDH	OE Funded	FS	3	N/A	Std		04	05	06	07	08
	Total 94 - Project Dvpm Officer								0	1	1	1	1
	Support Management												
Add	03 - EXO												
Edit	No position name given	USDH	OE Funded	FS	1	N/A	Std		04	05	06	07	08
Edit	No position name given	USDH	OE Funded	FS	4	N/A	Std		04	05	06	07	08
Edit	No position name given	FSN TCN DH	OE Funded	N/A	N/A	11	Std		04	05	06	07	08
Edit	No position name given	Local Hire US PSC	OE Funded	N/A	N/A	40	Std		04	05	06	07	08
Edit	No position name given	Local Hire US PSC	Program Funded	N/A	N/A	32	Std		04	05	06	07	08
Edit	No position name given	FSN TCN PSC	OE Funded	N/A	N/A	5	Std		04	05	06	07	08
Edit	No position name given	FSN TCN PSC	OE Funded	N/A	N/A	6	Std		04	05	06	07	08
Edit	No position name given	FSN TCN PSC	OE Funded	N/A	N/A	8	Std		04	05	06	07	08
Edit	No position name given	FSN TCN PSC	OE Funded	N/A	N/A	9	Std		04	05	06	07	08
Edit	No position name given	FSN TCN PSC	OE Funded	N/A	N/A	12	Std		04	05	06	07	08

Sample Workforce Planning -- Main Screen

Workforce Planning

Setup Standard SO Assignments

Cancel

Save

The assignments you set up here will be used for all positions that you do not associate directly with SOs.

SO #	SO Name	%
641-001	Increased private sector growth	0.00
641-002	Increased effectiveness of the primary education system	0.00
641-003	Improved family health	0.00
641-004	Public policy decisions better reflect civic input	0.00
641-005	Democratic And Decentralized Governance Strengthened Through Civic Involvement	0.00
641-006	Competitiveness of Ghana's Private Sector in World Markets Increased	0.00
641-007	Health Status Improved	0.00
641-008	Quality of and Access to Basic Education Improved	0.00

Total 0.00

Workforce Planning – Standard SO Assignment Screen

Adding New Position

01 - SMG

Cancel

Save

Fiscal Years

On board Sept. 30, 2004

Projected staffing needs

☒ 04
 ☒ 05
 ☒ 06
 ☒ 07
 ☒ 08

Position Name

(for operating unit use only)

Funding Type

☐ DCHA Overseas

Employment Type

☒ Use Standard SOs
 Strategic Objective Assignments

SO #	SO Name	%	
641-001	Increased private sector growth	0.00	
641-002	Increased effectiveness of the primary education system	0.00	
641-003	Improved family health	0.00	
641-004	Public policy decisions better reflect civic input	0.00	
641-005	Democratic And Decentralized Governance Strengthened Through Civic Involvement	0.00	
641-006	Competitiveness of Ghana's Private Sector in World Markets Increased	0.00	
641-007	Health Status Improved	0.00	

☐ Position involves SOs from operating units other than Ghana

Total

0.00

Workforce Planning – Adding a new position screen

4. Operating Expenses – Overseas and AID/Washington

Show the proposed use of OE and trust fund resources by resource category for the FY 2005 estimate, FY 2006 target, and FY 2007 request levels. For FY 2007 OE, the target level should be straight-lined from your FY 2006 allocation. The FY 2007 request should reflect an amount that takes into account the base and increases.

All amounts are to be reported in thousands of dollars.

Compute ICASS levels as follows: FY 2005 ICASS requirements should equal FY 2004 bills inflated by 6.8 percent; FY 2006 ICASS requirements should equal the FY 2005 estimate inflated by 6.5 percent; and the FY 2007 ICASS requirement should equal FY 2006 estimate inflated by 6.5.

Overview

The tables for OE Overseas and AID/W are modeled after the spreadsheets that have been used in the past. Phoenix codes and titles are listed along the left, and space is provided to enter OE and Trust Fund amounts for FY 2005 Estimate, FY 2006 Target, FY 2007 Target, and FY 2007 Request.

Phoenix lines marked with an asterisk are summed at the bottom of the table. Check to ensure that these values match those for OE funded deposits on the FSN Voluntary Separation Fund Table.

Moving from cell to cell in the table

Once you have entered a number in a cell in a table, be sure to either use the Tab key, or the mouse to move from that cell or the ENTER key in order for the Application to save that number and to calculate or recalculate total figures.

Viewing/Printing the report

To either view or print the OE - Overseas report, click on the “Excel” button. The application will open Microsoft Excel and generate an excel spreadsheet version of the report. You can print a copy of this report using the print function within Excel. Please note that it will not be possible to make changes to the printed version of the report. If changes are necessary, close the report; make the changes on the form, then click on the “Excel” button once again to generate a new report.

5. ICASS Reimbursement Table

This table should be used by overseas operating units that are or will be an ICASS service provider. This table should reflect the amount the Agency will be reimbursed for services provided. Include costs associated with providing services to OE-funded operations, USAID program operations and other customer agencies on post. Please note that the first line of the Table is for Washington-Funded Salaries and Benefits. If a USDH allocates time between providing ICASS services and providing non-ICASS support, report the estimated salaries related to ICASS on this line. Staff that is funded though the ICASS WCF is reported through the workforce table as well – see [Guidance Annex VIII](#) for details.

Helpful Hint on preparing the ICASS table:

Please note that the first line of the ICASS Table is for Washington Funded Salaries. Operating Units should report here the portion of the Executive Officer's salary as well as that of other USDH staff that provide ICASS services. Do not include benefits in this line item, as the Support Budget office will compute this cost based on agency-wide averages.

Moving from cell to cell in the table

Once you have entered a number in a cell in a table, be sure to either use the Tab key or the mouse to move from that cell or the ENTER key in order for the application to save that number and to calculate or recalculate total figures.

Viewing/Printing the report

To either view or print the ICASS report, click on the “Excel” button. The application will open Microsoft Excel and generate an excel spreadsheet version of the report. You can print a copy of this report using the print function within Excel. Please note that it will not be possible to make changes to the printed version of the report. If changes are necessary, close the report; make the changes on the form, then click on the “Excel” button once again to generate a new report.

6. Trust Fund and FSN Voluntary Separation

For use only by overseas missions, this table shows (a) availability of local currency trust funds and (b) deposits to and withdrawals from the FSN voluntary separation account. Please note that if an overseas unit shows obligations under object class 12.1 on the OE table for FSN voluntary separation (FSN direct hire or FSN PSC), then the FSN voluntary separation portion of this table must be submitted. The OE totals on this table must match the total FSN voluntary separation amounts for FSN direct-hire and FSN PSCs on the OE table. Also, provide the exchange rates used in computing the dollar equivalent of local currency trust funds. This information is required in the Agency's Budget Justification.

Overview

This table is modeled after the spreadsheet that has been used in the past. Enter values and they will be saved automatically. Press the recalculate button to update totals.

Moving from cell to cell in the table

Once you have entered a number in a cell in a table, be sure to either use the Tab key or the mouse to move from that cell or the ENTER key in order for the application to save that number and to calculate or recalculate total figures.

Viewing/Printing the report

To either view or print the USDH staffing requirements report, click on the “Excel” button. The application will open Microsoft Excel and generate an excel spreadsheet version of the report. You can

print a copy of this report using the print function within Excel. Please note that it will not be possible to make changes to the printed version of the report. If changes are necessary, close the report; make the changes on the form, then click on the “Excel” button once again to generate a new report.

7. Controller Operations

Overview

In the same format as the overseas OE table, this table should reflect only those costs associated with the office of the controller at overseas missions.

Moving from cell to cell in the table

Once you have entered a number in a cell in a table, be sure to either use the Tab key or the mouse to move from that cell or the ENTER key in order for the application to save that number and to calculate or recalculate total figures.

Viewing/Printing the report

To either view or print the Controller Operations report, click on the “Excel” button. The application will open Microsoft Excel and generate an excel spreadsheet version of the report. You can print a copy of this report using the print function within Excel. Please note that it will not be possible to make changes to the printed version of the report. If changes are necessary, close the report; make the changes on the form, then click on the “Excel” button once again to generate a new report.

8. GCC Budget Request

Each GCC mission must complete the GCC budget table, which requests data on obligations by country, strategic objective, and fund account for activities conducted in FY 2004 and 2005 and estimates for FY 2006 and FY 2007. Operating Units must also finalize 2003 data.

Overview

First Select the Strategic Objectives from the drop-down menu available from clicking on the “**Add**” button at the top right hand corner of the table. Also select the Sector Code and the Fund Account from this same drop-down box. When all appropriate Strategic Objectives have been selected, along with their sector code and fund account, click on the “**Add**” button provided at the bottom of the drop-down box. This will populate the spreadsheet with the information you provided. You can delete any strategic objective from the spreadsheet by clicking on the “**Delete**” button at the top right hand corner of the table.

Moving from cell to cell in the table

Once you have entered a number in a cell in a table, be sure to either use the Tab key or the mouse to move from that cell or the ENTER key in order for the application to save that number and to calculate or recalculate total figures.

Viewing/Printing the report

To either view or print the GCC report, click on the “Excel” button. The application will open Microsoft Excel and generate an excel spreadsheet version of the report. You can print a copy of this report using the print function within Excel. Please note that it will not be possible to make changes to the printed version of the report. If changes are necessary, close the report; make the changes on the form, then click on the “Excel” button once again to generate a new report.

9. Minority Serving Institutions

In compliance with Presidential Executive Orders, each federal agency is required to submit individual annual plans and performance reports on the agency’s actions to increase the participation of Minority Serving Institutions (MSIs) in federally-sponsored programs. These reports are submitted to the Secretary of Education and the Office of Management and Budget (OMB). MSIs are institutions of higher education in the United States, which either historically or currently have an ethnic minority student enrollment of more than 25 percent. MSIs consist of Historically Black Colleges and Universities (HBCUs), Hispanic Serving Institutions (HSIs) and Tribal Colleges and Universities (TCUs).

Each Bureau is requested to report in the AR application detailed information concerning:

- The activities and the amount of funding awarded in FY 2004 to MSIs, via contracts, grants, and cooperative agreements, as well as subordinate and third-party arrangements under these funding instruments.
- Funding for long- and short-term training, internships, fellowships, conferences, and seminars involving these institutions.
- Bureau/office FYs 2005, 2006 and 2007 plans to increase the participation with MSIs via contracts, grants, and cooperative agreements, as well as subordinate and third-party arrangements under these funding instruments.

Included in the MSI Annual Report database for your information are the lists of Minority Serving Institutions (HBCUs, HSIs and TCUs). Additional information on MSIs is available on USAID’s internal MSI website (<http://inside.usaid.gov/MSI/>).

Overview

To begin work on this table, press the “Add” button on the far left hand side of the worksheet to enter information about a specific consortium.

Entering consortium data:

First choose the type of institution: HBCU, HSI, TCU or Consortium. A drop-down menu will be provided listing the specific HBCUs, HSIs and TCUs to choose from. For consortiums you must enter

the consortium name. Then fill out the additional information in the boxes provided. Be sure to include a description of the activity.

When completed, click on the “Save” button at the top of the screen. Saving your data will return you to the main MSI table. The main MSI table provides a summary of the information for the consortium provided, including start date, end date, and fiscal year funding.

Viewing/Printing the report

To either view or print the summary MSI report, click on the “Excel” button. The application will open Microsoft Excel and generate an excel spreadsheet version of the report. You can print a copy of this report using the print function within Excel. Please note that it will not be possible to make changes to the printed version of the report. If changes are necessary, close the report, make the changes on the form, then click on the “Excel” button once again to generate a new report.

See Sample screens below for more details.

2005 Annual Report - Ghana

File Reports Tools Superuser Help

To fill out this MSI sheet, press "Add" to enter each position under the sub header below

Minority Serving Institutions Excel Close

Add/ Edit	Name of Institution	Start Date	End Date	FY 04 Actual	FY 05 Proposed	FY 06 Proposed	FY 07 Proposed	Total Award
Add	CONSORTIUMS							
Add	Historically Black Colleges and Universities							
Add	Hispanic Serving Institutions							
Add	Tribal Colleges and Universities							

Minority Serving Institutions Main Screen

Minority Serving Institutions

Adding New Record

Cancel Save

Choose type of Institution:

☐ HBCU
☐ HSI
☐ TCU
☒ Cons

Enter the name of the consortium

Type of Agreement:

Other Funding:

Type of Implementer:

Sub or Third Party Prime Implementer:

Description of Program Activity

Start Date (mm/dd/yyyy)	End Date (mm/dd/yyyy)	FY 04 Actual Obligations	FY 05 Proposed	FY 06 Proposed	FY 07 Proposed	Total Award

Enter amounts in dollars (not thousands of dollars)

Minority Serving Institutions Screen to Add New Record

10. Global Development Alliance

All Agency Operating Units must report on public-private alliances to document: (i) the extent to which Public-Private Alliances are being used in on-going Agency programs, (ii) the range of alliance partners and partner types currently participating in Agency-funded alliances; and (iii) the nature and amount of partner contributions which are being leveraged in support of USAID program objectives. This information is routinely requested by various external audiences; it is also needed for internal assessment of the Agency's progress towards mainstreaming the GDA business model. Fill out the GDA table for each alliance. **See AR Guidance Annex XI: Public-Private Alliances on GDA Precepts.**

From Annex XI: Public-Private Alliances:

“For the FY 2005 Annual Report all USAID Operating Units are required to fill out the Global Development Alliance Table found in the Annual Report application for each of its alliances that it manages in which funding was obligated in FY 2004. Templates have been pre-populated with data from FY 2002, FY 2003 and FY 2004 for which the GDA Secretariat had information.

What are the criteria that determine whether an activity is a Global Development Alliance and should be reported as such?

To be reported as a Global Development Alliance, an activity must meet the following threshold criteria:

- a. It must be a public-private alliance in which the total of USAID resources (from all sources) committed over the life of the alliance activity is leveraging at least an equal or greater amount of total partner resources; and
- b. Beginning in FY03, this partner contribution must include private funds (see definition below) at least equal to 25% of the value of the expected USAID resources.

In addition to these leveraging criteria, GDA alliances should also exhibit the following characteristics:

- a. Joint planning and problem definition;
- b. Shared risks and responsibilities;
- c. Ideally, though not necessarily, new partners and/or innovative approaches.

What resources get counted toward partner contributions in calculating the leverage ratio of an alliance?

The resource contributions expected from GDA partners may include both public and private funds, and may be provided in cash or in-kind contributions. Public resources contributed to an alliance may come from other USG agencies, state and local governments or governmental agencies, bilateral and multilateral institutions, and foreign governments or governmental agencies. Private resources would include contributions from private companies, foundations, universities, NGOs (if raised from non-public sources), private individuals, and any other non-public source.”

Entering Data

To begin work on this table, press the “Add” button on the far left hand side of the worksheet to enter information about a specific alliance and select the type of organization of the alliance partner.

Then fill out the additional information in the boxes provided, such as start date, expected duration, obligations, partner contributions, and projected funding for the life of the alliance (including future years). Be sure to summarize the alliance objective and report any results achieved to date under the alliance from its inception or start year in the large text box provided. For alliances that have been in existence for multiple years, it is requested that 2004 results be separated from prior year results.

Viewing/Printing the report

To either view or print the summary GDA report, click on the “Excel” button. The summary report will include all data on the main GDA screen. The application will open Microsoft Excel and generate an excel spreadsheet version of the report. You can print a copy of this report using the print function within Excel. Please note that it will not be possible to make changes to the printed version of the report. If changes are necessary, close the report, make the changes on the form, then click on the “Excel” button once again to generate a new report.

2005 Annual Report - Ghana

File
Reports
Tools
Superuser
Help

Press "Add" to the right to enter a new alliance
Press "Edit" to edit an existing alliance

Global Development Alliances

Add
Excel
Close

Edit	Name of Alliance	Sector	Start Year	Expected Duration	2004 Obligations	2004 Cash	2004 In-Kind	Life of Al. Obligations	Life of Al. Cash	Life of Al. In-Kind
Edit	Food Industry Development Pr	Agriculture	2002	3	0	0	0	0	0	0
Edit	Networks of West Africa Regi	Economic Growth/Trade	2003	5	0	0	0	0	0	0

Global Development Alliance Main Screen

Global Development Alliance

Editing Alliance Delete Cancel Save

Alliance Name: Food Industry Development Program

Sector: Agriculture

Start Year: 2002 **Expected Duration (Years):** 3

Countries in Alliance: Ghana

USAID Alliance Manager Contact Name

Add Partner

Partner Name	Partner Type

Alliance Objective and Results Achieved

The alliance supports Ghanaian producers and exporters in meeting safety, quality, environmental, and labor standards as required by international markets. The partners are developing a sustainable supply chain with the objective of increasing rural sector income. Increased collaboration among Mission's partners implementing the enterprise development component of the trade competitiveness program and thereby taking advantage of the synergies provided and resulting in cost effectiveness of program implementation.

Enter amounts in dollars (not thousands of dollars)

	Obligations for all USAID Operating Units	Partner Contributions	
		Cash	In-kind
2002	2,644,340	2,628,920	0
2003	180,000	0	0
2004	0	0	0
Projected Funding for the Life of Alliance (Including Future)	0	0	0

Global Development Alliance – Add/Edit Screen

11. Budget Reports

The last menu selection on the budget tab is “Budget Reports.”

From the menu of reports you can generate a report for any of the budget tables found in the budget section of the Application. You can also select a year and appropriation scenario for selective SO Appropriations reports.

Please remember:

Be sure to make all changes within the Application, and not on the spreadsheet; changes made on the spreadsheet will not appear in the Application and will not be submitted to Washington.

12. Budget Reporting Tool

Access the reporting tool through the Reports menu at the top of the main menu screen.

Overview

Most information in the budget portion of the Application can be accessed through the reporting tool. Although its use is not mandated in any way, and the reports you generate are not included as part of your Annual Report submission, you may find it useful in verifying the data entered. It allows you to select the fields you are interested in, group and total on particular fields, and set filters so that only particular rows are displayed. You can run ‘Standard Reports’ that are included in the Application itself, create ‘Custom Reports,’ and save these custom reports for later use. All reports can be saved in Excel format.

Report Types

The drop down box on the top left of the screen determines the type of report (i.e. Program Funding, Workforce, etc). You can change between report types at any time.

Report Tab – “Standard Reports”

The standard report tab lists all reports that are included within the Application. For example, Program funding includes four standard reports. When you select a standard report with the mouse, a preview of the report appears in the lower half of the screen. Hit the Run button to generate the report based on current data, or press Excel to generate a spreadsheet version of the same report.

Report Tab – “Custom Report”

The custom report tab has three boxes - “Columns,” “Rows” and “Values,” that vary depending on the report type selected. Selecting values in these boxes determine what will be displayed when the custom report is generated.

Columns

Checking a value in the columns box will cause that column to appear in the report. As you check or uncheck a column, you will see it appear or disappear from the preview box below. Items that are at a higher level in the tree contain the sum of all the columns beneath it. Right clicking on these higher-level items displays a menu that allows you to hide or show all the items beneath it.

Rows

The rows box displays the rows available for the current report type. You must select at least one row to run a report. If more than one row is selected, the report will contain “break rows” that sum the data at different levels. The order in which the rows will be displayed when the report is run is shown in the preview box. The items are displayed in the same order that they are selected.

Values

The Values box is on the top right of Custom Report tab. It displays a list of distinct values of the currently selected item in the rows box. To filter the results of the report, check one or more of the values and the report will only display those values.

As with standard reports, you can press the run button to generate the report from current data, or press Excel to view the report as a spreadsheet.

Report Tab – “User Reports”

When creating a custom report, the option to save the report for later use is available through the “Save User Report” button. You will be prompted for a name and description of the report. It will be available on the user reports tab after you save it. From there you will also have the option of renaming or deleting it.

Step Three: Strategic Objective and Operating Unit data

Working with Narrative Forms

In general, you will be adding narrative text into the “boxes” provided for each significant section of the narrative portion of the application either by starting to type within the “box” or by double clicking your mouse within the “box” to launch a modified Microsoft Word document.

Formatting

The documents generated by the Application are pre-formatted with one-inch margins and the required font, **Arial 10**, being used this year. Within the Word document you can cut and paste narrative into and out of the document. When cutting and pasting, the format in the cut and paste portion will be automatically changed to **Arial 10** once the data has been saved in the text box. When cutting and pasting from a document outside the Application, be sure to note that approximately 10% of the two-page limit will be taken up by the formatting necessary to create the CBJ country overview and program data sheets. Also, be sure not include any graphics, tables, text-boxes, bullets (you may substitute dashes for bullets), or photographs in your narratives.

Printing/Viewing/Spell Check

The application provides a spell-checking tool that is accessible from each narrative section within the application. To access it, double click on the narrative/text section you wish to spell check. From the tool bar at the top of the box, select “Tools” and then “Check Spelling” to spell check the section selected. To spell check an entire document, such as the Full CBJ, you would have to spell check the Word document generated, then copy and paste any corrections back into the appropriate narrative section of the application.

The Full CBJ document or the Annual Performance Document or any sub-set of these two documents, such as the Resource Request narrative, may also be saved to a file outside of the Application, by clicking on “File” and then “Save As” to allow you to add photographs, tables, text-boxes, and graphics for any purpose the operating unit deems appropriate.

Copying and Pasting from a Word document

A few users last year reported that when copying and pasting from another Word document into a narrative section of the Annual Report Application they found extraneous, garbage characters. These characters are associated with Word formatting found in the Word document from which they were copying and pasting. To get rid of these extraneous characters, take the following steps:

1. Double click on the narrative field containing the extraneous characters. With your mouse, highlight all text in the selected section, such as the Development Challenge section of the CBJ Country Overview. From the toolbar, select “Edit/Copy.”
2. Next, delete all selected text. Then from the toolbar select “File/Save and Exit.”

3. Go back to the selected section, such as Development Challenge, and double click. From the toolbar, select “Edit/Paste.” The text, which you had previously highlighted and deleted, should now appear in this section without the extraneous characters.
4. From the toolbar select “File/Save and Exit” to save your corrected text.

New organization of narrative section of application

In the past, the Annual Report application was artificially organized along the lines of the CBJ vs. “All Else.” This was an awkward construction that resulted in missed information. Since the Annual Report is not one fluid document, but a series of data fields that can be reorganized into any needed format, we have reorganized this guidance and the application along the division of “Operating Unit level reporting” and “SO level reporting.” As long as Operating Units carefully follow the guidance for each section, we believe we will still get the information we need for all of our Agency reporting. More importantly, we hope that the new format facilitates completion of your Annual Report.

Operating Unit Reporting

Under “**Operating Unit**” tab are the following five tabs:

Cover Memo Country Overview (CBJ) Program Performance Resource Request Perform Measures

The screenshot displays a web-based application window titled "2005 Annual Report - Democratic Republic of the Congo". The interface includes a menu bar with "File", "Reports", "Tools", "Superuser", and "Help". Below the menu, there are tabs for "Budget" and "Narrative", with "Narrative" currently selected. Under the "Narrative" tab, there are sub-tabs: "Strategic Objective", "Operating Unit" (which is active), "Narrative Reports", and "Agency Reports". A checkbox for "Performance Goals Certification Received" is present, along with a green label "[Democratic Republic of the Congo]" and a button labeled "Annual Report". A secondary set of tabs includes "Cover Memo", "Country Overview (CBJ)", "Performance Summary", "Resource Request", and "Perform Measures", with "Country Overview (CBJ)" selected. Below these tabs, there is a button labeled "Country Overview" and a link "Update Page Count". The main content area is divided into three sections: "The Development Challenge", "The USAID Program", and "Other Donors".

The Development Challenge

The DRC is emerging from years of civil war, long-term corruption, and government mismanagement under the Mobutu and Laurent Kabila regimes. With the installation of Joseph Kabila as President in January 2001, a political will emerged for intensified movement towards peace, greater stability, and improved economic management. In 2003 peace agreements among all former belligerents were reached, a new Transitional Government was formed, and uninvited foreign forces left the Congo. National elections are scheduled for 2005. Despite the optimism that the start of the transition brings to the DRC, poverty and despair still characterize the lives of most Congolese. The infant and underfive mortality rates are 126 and 213 per 1,000 live births respectively. The maternal mortality ratio, among the highest in the world, is 1,289 deaths per 100,000.

The USAID Program

USAID's Integrated Strategic Plan for FY 2004-2008 consists of four Strategic Objectives (SOs) in health, democracy and governance, livelihoods, and education and one Special Objective (SpO) in reintegration of ex-combatants. The Data Sheets provided cover these four SOs and SpO for which USAID is requesting FY 2004 and 2005 funds. While the Central African Regional Program for the Environment (CARPE) is managed by USAID/DRC and contributes to the Mission's overall goal for the DRC, CARPE operates under a new, stand-alone, Central Africa Regional Strategic Objective.

USAID support in eastern Congo - a region rife with human rights abuses - has proven critical. Security problems and human rights violations continue, however the situation has much improved in the past year. USAID has taken advantage

Other Donors

With the exception of large infrastructure projects (in which the World Bank and European Commission (EC) are heavily engaged), the sectors in which other donors are engaged roughly mirror USAID's portfolio. The largest donors beyond USAID (by ranking) are the World Bank, the European Union (EU), and Belgium. All major bilateral and some multilateral

Sample Screen Showing New Organization at “Operating Unit” Level

1. Cover Memo

You can either begin typing in the text box provided, double click to open a text box, or copy and paste from a Word document outside the application to the text box opened in the Cover Memo narrative section. Within the text box you can also spell check by selecting “Tools” and then “**Check Spelling**” from the tool bar at the top of the text section. You can also use the Edit features of “Copy,” “Paste,” “Find” and “Replace.” When you are finished with the cover memo document, select “File,” then “Save and Exit” from the tool bar at the top, to save your document and exit back to the main Cover Memo text box.

Please remember that the FY 2005 Annual Report Guidance states, “*A cover memorandum **of up to three pages is required.** The Annual Report cover memo is not intended for distribution outside the Agency, and will not be posted on the Agency’s website.*”

To print a copy of just the Cover Memo, select the “Cover Memo” button. Please note that changes made to the **printed**, Microsoft Word version of the cover memo will not be saved in the application. Any necessary changes must be added through the Cover Memo text box in the application, either by adding them to the text box, or double clicking within the text box to bring up the modified Word document.

The Cover Memo will also appear in the full Annual Report that can be generated through the “Annual Report” button to the right of the Operating Unit name found under the main “Operating Unit” tab.

2. Country Overview (CBJ)

For assistance in completing the CBJ portions of the Annual Report, see the sample CBJ submission for “Freedoni” on the internal website at <http://CDIE.USAID.gov/ar> or on the external web site at <http://www.dec.org/partners/ar>. Global HIV/AIDS focus countries please see Guidance Annex X to the AR Guidance. This Country Overview is now part of your Operating Unit’s Operational Plan per the conclusion of the Business Model Review and the Strategic Management – Interim Guidance (see [Supplemental Reference](#) 14). For pillar bureau Operating Units, this is your Program Overview.

According to the AR Guidance, “The Country Overview will be used for the country-specific sections of the Congressional Budget Justification and therefore should be written for a broader audience that may not be familiar with the country. However, do not describe generic facts about that country (e.g. “Freedoni is a landlocked nation in central Middle Earth...”).

The Country Overview section consists of the following narrative sections, all of which are required: The Development Challenge; The USAID Program; Other Program Elements and Other Donors.

Double click on each text box provided for each section described above. See the AR Guidance for details as to what information should be included in each section of the Country Overview or select “Help” within the AR Application. When completed, you can click on the “Country Overview” button to generate a Word document for viewing and/or printing. Please note that changes made to the printed version of the Country Overview will not be saved in the application. Any necessary changes must be added through the appropriate Country Overview text box, either by adding them to the text box, or double clicking within the text box to bring up the modified Word document.

Page Count: To assist you in keeping to the two-page limit for the Country Overview section, a button at the top of the page has been provided that keeps a running tally of the number of pages in this section. As you add information to each of the sections in the country overview, click on the “Pages” button to get an updated count of the total number of pages for the Country Overview in its entirety. If you exceed the two-page limit for this section, you will receive a message stating that the two-page limit has been exceeded; please go back and edit your information. You may edit any section you wish to meet the two-page limit.

Spell Check: The application provides a spell-checking tool that is accessible from each narrative section within the application. To access it, double click on the narrative/text section you wish to spell check. From the tool bar at the top of the box, select “Tools” and then “Check Spelling” to spell check the section selected. To spell check an entire document, such as the Full CBJ, you would have to spell check the Word document generated, then copy and paste any corrections back into the appropriate narrative section of the application.

3. Program Performance

In preparing this section, please refer to the Freedomi example “Performance and Budget Narrative for ‘Freedomi’” on the internal website at <http://CDIE.USAID.gov/ar> and on the external website at <http://www.dec.org/partners/ar>. This Program Performance Summary is now part of your Operating Unit’s Operational Plan per the conclusion of the Business Model Review and the Strategic Management – Interim Guidance (see [Supplemental Reference](#) 14). Both sections below are required.

This section consists of text boxes for the Program Narrative (FY 2004) and Environmental Compliance. Please refer to the Annual Report Guidance if you have any questions as to what information should be reported on in these sections or select “Help” within the AR Application.

Page Count: To assist you in keeping to the four-page limit for the Program Narrative and the one-page limit for the Environmental Compliance, a button at the top of each section has been provided that keeps a running tally of the number of pages in this section. As you add information in a section, click on the “Pages” button to get an updated count of the total number of pages for that section. If you exceed the page limit for either section, you will receive a message stating that the page limit has been exceeded; please go back and edit your information.

Upon completion you can print or view the Program Performance section by clicking on the button labeled, “Program Performance Report.”

4. Resource Request

This section of the Annual Report initiates the Agency’s budget formulation process for the FY 2007 budget cycle. Your bureau will notify you when to submit this FY 2007 request, which will be submitted in conjunction with the MPP process and must be coordinated with your embassy.

This narrative must include: Rationale and Justification, Pipeline, Decommittments, OE and Workforce, Program-Funded Personnel and Support and Management Assessments. Please refer to the Annual Report Guidance and Annex VII for elaboration as to what information should be contained in these

sub-sections or select “Help” within the AR Application. When completed, you may either print/view the resource request section or the Annual Report in its entirety.

Page Count: To assist you in keeping to the five-page limit for the Resource Request, a button has been provided that keeps a running tally of the number of pages in this section. As you add information, click on the “Pages” button to get an updated count of the total number of pages. If you exceed the page limit, you will receive a message stating that the page limit has been exceeded; please go back and edit your information.

Spell Check: The application provides a spell-checking tool that is accessible from each narrative section within the application. To access it, double click on the narrative/text section you wish to spell check. From the tool bar at the top of the box, select “Tools” and then “Check Spelling” to spell check the section selected. To spell check an entire document, such as the Full CBJ or Annual Report Document, you would have to spell check the Word document generated, then copy and paste any corrections back into the appropriate narrative section of the application.

5. Performance Measures Table

Regarding the Performance Measures Table, the AR guidance states the following:

“All Operating Units must complete the “Performance Measures” table. Completion of this table will provide information that fulfills the Agency's Government Performance and Results Act (GPRA) reporting requirements. The information will be used in the Performance and Accountability Report, to measure progress on the new joint State/USAID Strategic Plan, and to provide information to use in the OMB PART. New indicators have been added to some performance goals. Operating Units with programs to which these new indicators apply have a one-year grace period before being required to report if they are not organized to collect this new data. All Operating Units, however, are required to answer all “yes/no” questions. For measures that you do report on now, or can report on in the future, you must also enter targets for '05 and '06 at this time. At the time that your 2007 resource request is due you will also be asked to supply '07 targets for these performance measures on the grounds that these are the results you intend to achieve with the resources you are requesting. These targets are important because they will be used in the Joint Performance Plan.

Specific additional information on Performance Measures is included in Annex VII. Global HIV/AIDS Initiative focus countries see additional guidance in Annex X.

From Annex VII: Operating Units should think of the data in their PMPs as falling into two categories: those for managing their SOs and those for reporting. The indicators contained in the **Performance Measures** table fall into the second category. To assist you in completing this table, we are including an *Indicator Dictionary* with definitions and/or examples. For most indicators it will provide you with clarifying information when filling out the table.

Significant Results. In a change for this year, we are asking for reporting on significant results **only** for those Performance Goals for which we have no other common indicators. Each unit is asked a yes/no question as to whether it has achieved a ‘significant’ result this year related to a “USAID Objective.” A ‘significant result’ is one that demonstrates that USAID is making a recognizable difference in the

country where it is working. Achievement of intermediate results or strategic objectives is the most common type of ‘significant result’. Operating Units may characterize particularly important milestones achieved as “significant results.” The purpose of this question is to provide AID/W with examples of country-level impact of USAID activities. It is essential that this impact be described, so space is provided in the performance table (the column labeled “Description of the OU Response..”); Operating Units may also wish to discuss them in the Performance Narrative section.

Other Performance Measures. The shape of an Operating Unit’s portfolio should drive the indicators on which it reports, not visa versa. This year, if an Operating Unit portfolio addresses a Performance Goal and does or can use one of the indicators included in the list of Performance Measures to measure performance against the SO or intermediate results for that SO, the Operating Unit must report data for that indicator.

This year we are asking for your targets for FY05 and FY06. The purpose of this effort is to come up with aggregate Agency targets, not for examining your individual performance. You must complete those targets for the indicators for which you have submitted FY04 data if you plan to continue in this area in FY05 and FY06, and for those indicators for which you may not have FY04 data (you’ve never collected it before but could or you have not done a DQA), but will for FY05 and FY06. The data you submit here will be aggregated with all other missions providing data. Narrative targets, e.g. “we anticipate our country will reach WTO status 4 by FY06” will be assessed individually for the aggregate story that they tell.

The indicators in this table are organized to correspond to the performance goals of the new joint State/USAID Strategic Plan. New indicators have been added for each performance goal of the new joint strategy. Using your mouse or down arrow key, highlight the question to be answered. Some questions require that you select the appropriate Strategic Objective before answering; others do not. When highlighting the appropriate question at the top half of the screen you will notice that three columns with boxes for answering the selected question will appear at the bottom of the screen. Before answering the question under selective Performance Goals, “Did your program achieve a significant result in the past year that is likely to contribute to this objective?” you **must** select the specific Strategic Objective in order to answer the question. Once you have selected an SO, you can go back and delete that SO and/or select another one if necessary.

Viewing/Printing the report

To either view or print the Performance Measures report, click on the “Performance Measures Excel” button. The application will open Microsoft Excel and generate an excel spreadsheet version of the report. You can print a copy of this report using the print function within Excel. Please note that it will not be possible to make changes to the printed version of the report. If changes are necessary, close the report, make the changes on the form, then click on the “Excel” button once again to generate a new report.

Strategic Objective Level Reporting

Under “Strategic Objective” are the following seven tabs:

[SO Profile](#) ['04 SO Performance](#) [CBJ Datasheet](#) ['07 SO Plan](#) [SO Indicators](#) [Results Framework](#) [SO Closeout](#)

The screenshot shows a web application window titled "2005 Annual Report - Ghana". The menu bar includes "File", "Reports", "Tools", "Superuser", and "Help". Below the menu, there are tabs for "Budget" and "Narrative". Under the "Narrative" tab, there are sub-tabs: "Strategic Objective", "Operating Unit", "Narrative Reports", and "Agency Reports". The "Strategic Objective" sub-tab is active.

Current SO: 641-001 Increased private sector growth

Program Title (Short Title): Economic Growth

SO Profile '04 SO Perform CBJ Datasheet '07 SO Plan SO Indicators Results Framework SO Closeout

Add New SO SO Profile All SO's Profile Certify Perf Goals Report

Status: Select Status Pillar: Select Pillar

Last Year of Expenditure: [text box]

Primary Perf Goal Link: (Required) Select Primary Goal

Institutions, laws, and policies foster private sector led growth, macroeconomic stability, and poverty reduction

Secondary Perf Goal Link: (Optional) Select Secondary Goal

Initial Obligation Year (Enter Year Only): 1997

Prior Year Unobl. & Funding Source: \$0

Planned FY05 Obl & Funding Source: \$0

Proposed FY06 Obl & Funding Source: \$0

Est. Completion Year (Enter Year Only): [text box]

Last Year of NOA Request(Enter Year Only): [text box]

Sample Screen Showing New Organization at “Strategic Objective” Level

1. SO Profile

This table is new for this year’s Annual Report. It is designed to collect information about an SO in one place, and it will be used to populate other portions of the application. In this table you will be able to add SOs (please note this feature is being removed from the “U.S. Financing Table.”), perform several other linkages, and certify your SOs.

Data required: Data to be entered on this form for each Strategic Objective includes: Program Title (short name), Status, Pillar, Primary Performance Goal, Secondary Performance Goal (optional), Initial

Obligation Year, Estimated Completion Year and Last Year of NOA Request. All data except for “Secondary Performance Goal” is required.

Status: For new SOs for which there may be no performance data, select “New in FY 2004” (defined as first obligation in FY 2004) or “New in FY 2005 or New in FY 2006” from the drop down box labeled “Select Status” so that we know not to expect past performance data (but, to the extent possible, please complete the SO indicator table (see section I.B.6 below) with baselines and targets for these new SOs). If you have a Program Support Objective (which also has limited reporting requirements per ADS 201.3) please select that option from the drop-down menu. If in the final years of expenditure, please select “Last year of expenditure 2004” or “Last year of expenditure 2005”. Other options for status are “continuing” and “closed out”.

Links to Performance Goals: The SO Profile table also includes the required linkages to the Performance Goals of the Joint State/USAID Strategic Plan. For each SO against which you expended funds in FY 2004 and beyond, please select the performance goal that best links to your SO. Two additional categories have been added to the Performance Goal link: “Cross-cutting” (entries here are *limited* to Program Support objectives, PD&L objectives, and certain types of special initiatives *only*), and “Erroneous Entry” (for SOs that, for example, were mistakenly entered and should probably be deleted from the system). These linkages are critical for compiling the Agency’s statement of net costs. Thus, once you have finished linking your SOs, the Annual Report application contains a certification feature. When all the Operating Unit’s SOs are ready for certification, the designated user will select the option that it is “ready to certify.” The application will then generate a list of the mission’s SOs as a Word document in a certification report, “Certification of SOs to Agency Performance Goal Linkages,” which will include the SO number, SO name, performance goal title, date of initial obligation, certification statement (“I certify that the listed SOs are properly linked to Agency performance goals”), and date of certification. If any SO is missing a performance goal assignment a message will appear notifying the user that a performance goal link is missing, and a Certified Performance Goals Report will not be generated. Once complete, this report is to be signed by each Operating Unit’s Mission Director and sent to PPC via an email attachment, as described in the AR guidance.

Add New SO: If Strategic Objectives are missing from the drop-down menu at the top of the form, new SOs can be added from the “Add New SO” button. Once added, they will appear in all drop-down menus listing the Operating Unit’s Strategic Objectives on both the budget and narrative sides of the application.

Printing :

To generate a SO Profile report for the Strategic Objective appearing on the drop-down menu, select the button “SO Profile”. To print a report listing all Strategic Objectives for your Operating Unit, select the button “All SO’s Profile”.

2. '04 SO Performance

According to the AR Guidance, “In this section, Operating Units will discuss the performance of the Strategic Objective, in terms of results achieved, host-country commitment, strategic planning, and

implementation deficiencies. This information will be used for Agency decision-making on programs and resources and will be included in Bureau- and Agency-level reporting documents (BPBS, the APP, the PAR, and the OMB Performance Assessment Rating Tool.). Limit the section **to two to four pages per SO**. This section will not be posted on the Agency external web page. Operating Units are encouraged to provide unclassified, but candid detail on their SOs. This section is required.” See the AR guidance for additional information on what to include in this section.

To use the SO Performance section, first select the Strategic Objective from the drop-down menu at the top of the form for which you wish to complete this section. Upon completion, select another Strategic Objective from the drop down menu at the top of the page until all SOs have been completed.

The SO Performance screen consists of two sections; a “program component” section and an overview section. To use the overview section you can either begin typing in the text box provided, double click to open a modified Word document, or copy and paste from a Word document outside the application to the modified Word document opened in the Performance Overview text box.

For within all the Word documents on this screen, you can spell check by selecting “Tools” and then “Check Spelling” from the tool bar at the top of the Word document. You can also use the Word Edit features of “Copy”, “Paste”, “Find” and “Replace”. When you are finished with each narrative, select the “Save” button provided to save your document.

Program Components: To select the Program Components relevant to the current Strategic Objective, select the drop-down menu labeled “Add Component”. Select the appropriate component from the menu provided. Once a component has been selected, its name will appear in a list in the box below the component drop-down menu. Enter your text describing the component in the text box provided to the left of the component menu. When you have finished the narrative for that component, select the “Save Component” button found below the component drop-down menu. You can delete any component previously selected by highlighting that component and then selecting the “Delete Component” button. You can review and edit the narrative for any component previously entered by highlighting that component from the list box on the right. The text for that component will appear once the component has been highlighted. There is a special section in “Help” which provides definitions for all program components. *These definitions can also be found in Annex III of this User’s Guide.*

Help is always available and can be accessed in a variety of ways. You can select the “F1” button from your keyboard to bring up help; you can select “Help” from the main toolbar at the top of the application; or you can “Right click your mouse button” within any section of the application to access context-sensitive help.

Page Count: Each SO performance narrative can be no longer than three pages. To assist you in determining the approximate length for each narrative, a button at the top of the page has been provided that keeps a running tally of the number of pages in this section. As you add information to this section, click on the “Update Page Count” button to get an updated count of the total number of pages. If you exceed the three-page limit for this section you will receive a message stating that the three-page limit has been exceeded; please go back and edit your information.

Printing:

Select the button “SO Performance Report” to generate a report for the Strategic Objective appearing on the drop-down menu. All SO Performance narratives are also provided as part of the “Annual Report” found under the Operating Unit tab.

3. CBJ Data Sheet

One Data Sheet of not more than **two** pages must be submitted for each SO for which you plan to obligate resources in FY 2005 or FY 2006. Do not submit a Data Sheet for SOs for which you are not requesting any funds. Subsection headings are as follows and all are required: Header; Summary; Inputs, Outputs and Activities: FY 2005; Inputs, Outputs and Activities: FY 2006; Performance and Results.

A header, similar to last year, contains the following information: USAID Mission (or Program); Program Title; Pillar; Strategic Objective; Status; Planned FY 2005 Obligation; Prior Year Unobligated; Proposed FY 2006 Obligation; Year of Initial Obligation (show starting FY), and Estimated Year of Final Obligation (show FY of last expected obligation). The header information for the CBJ datasheet is generated from the information found on the SO Profile page. For questions on SO numbers, please contact the person designated by your Bureau.

You can either begin typing in the text box provided, double click to open a modified Word document, or copy and paste from a Word document outside the application to the modified Word document opened in the CBJ datasheet text box. Within the modified Word document you can also spell check by selecting “Tools” and then “Check Spelling” from the tool bar at the top of the Word document. You can also use the Word Edit features of “Copy”, “Paste”, “Find” and “Replace”. When you are finished with the document, select “File”, then “Save and Exit” from the tool bar at the top to save your document and exit back to the main screen.

Inputs, Outputs and Activities: The AR Guidance states, “Operating Units should distinguish between the FY 2005 and FY 2006 programs. While the description of the FY 2006 program may indicate a degree of remaining uncertainty about precise implementation plans (e.g., by saying that funds are “to be used” or “may be used,” or that USAID “plans to use,” etc.), the description of the FY 2005 program should include unambiguous statements of how the funds “will” be used. Emergency programs may have to use uncertain language for both years.

Within each fiscal year, **describe your program by the program component area of assistance.** Unlike last year when you described “functional areas,” **program components** are standardized across the agency and you must select from a menu contained in the “Help” menu in the application. For each area, please add the approximate amount of funds you intend to devote to that **program component by fund account.**”

The “Help” menu will include the list of program components and their definitions. Program components should be selected from this list.

“Development Credit Authority (DCA) references can be included in the CBJ (this is a change from last year). The account will not be broken out in the tables if funds have not yet been transferred, but the text can include statements such as “USAID anticipates transferring \$x,000 to DCA to...” Barring special provisions of the law (see Guidance Annex I), further notification would not be required if such references are included here. This will result in significant time savings as you proceed to obligate funds for your DCA activities.

If you have stated prior year unobligated amounts in your header and can break out where they will be used by program component, please do so. If these carryover funds are being used for the same purpose previously notified as their intended use, mention of this use here merely provides a fuller explanation of how you plan to use the funds in your header. It is not a renotification. If instead, the planned use of carry over funds differs from the use intended when they were last notified, this CBJ does serve as a renotification and the affected SO should show as one being renotified in the CBJ.

For each **program component**, please describe in terms understandable by the general public how the funds being requested will be spent, (i.e., five training courses) and the immediate impact to be achieved with these resources (e.g. we expect to train over 100 judges in court administration). Do not use general statements such as, “USAID/Freedomi will provide *support* to NGOs.” Tell us what *kind* of support. Although P.L. 480 resources are not included in the financial tables, please discuss P.L. 480 inputs, outputs, and activities and a brief description of the contribution and effectiveness of these resources to achievement of the objective and to enhanced food security in the country. Do not include P.L. 480 budget figures in the text.”

Help is always available and can be accessed in a variety of ways. You can select the “F1” button from your keyboard to bring up help; you can select “Help” from the main toolbar at the top of the application; or you can “Right click your mouse button” within any section of the application to access context-sensitive help.

Page Count: Each CBJ datasheet can be no longer than two pages. To assist you in determining the approximate length for each datasheet, a button at the top of the page has been provided that keeps a running tally of the number of pages in this section. As you add information to this section, click on the “Pages” button to get an updated count of the total number of pages. If you exceed the two-page limit for this section you will receive a message stating that the two-page limit has been exceeded; please go back and edit your information.

Printing:

To generate a CBJ Datasheet for the Strategic Objective appearing on the drop-down menu, select the button “Current SO Datasheet”. To print the full CBJ, including the Country Overview and all datasheets, select the button “Full CBJ”. The “Full CBJ” report will not include a datasheet for any Strategic Objective for which there is no Summary discussion or any budget data.

Please Note:

IF there is no budget data in the budget section OR no text in the **Summary** section of the CBJ Data sheet, *no CBJ Datasheet will be printed for that Strategic Objective*. If budget data for FY 2005 or FY 2006 is missing, it must be entered into either the US Financing or SO Appropriations budget table in

order for a datasheet to be included for that Strategic Objective in the full CBJ report. If a datasheet is not wanted for a specific SO, be sure that there is no budget data or no text in the Summary section. DO NOT insert text such as “NA” or “Completed SO” in the summary section, since ANY text will cause a datasheet to be generated.

Since datasheets are not always needed for a Strategic Objective, this process allows one to eliminate unwanted data sheets for Strategic Objectives that are not valid; i.e., those with incorrect titles, incorrect numbers, etc. that otherwise would have to be manually removed from the full CBJ report.

4. '07 SO Plan

The AR Guidance states, “Please describe the FY 2007 program for which you are requesting resources. Organize the description by program component and include illustrative activities you plan to undertake. A drop-down menu of the Agency program components is available in the AR application. If you plan to revise an SO by adding new components or make major modifications within a component, explain how that decision is responsive to changing circumstances within the country, or changing priorities from Washington, and if applicable, specify what may be reduced or eliminated. For the activities you’ve proposed in each program component, please state the immediate impact to be achieved (e.g. we expect to train over 100 judges in court administration), and the longer-term results expected.

If you described in your cover memo the efforts being made to identify new local and U.S. partners, especially non-traditional USAID partners, please discuss here how non-traditional partners will be integrated into the Mission’s Operational Plan. The Agency increasingly sees public-private alliances, faith-based partners, and Diaspora as a critical way for USAID to expand development success with declining resources and promote collaboration rather than duplication and inconsistencies.” Please see the AR guidance for additional information regarding this section.

To use the SO Plan section, first select the Strategic Objective from the drop-down menu at the top of the form for which you wish to complete this section. Upon completion, select another Strategic Objective from the drop down menu at the top of the page until all SOs have been completed.

The SO Plan screen consists of two sections; a “program component” section and an overview section; it is exactly like the screen for '04 SO Performance. To use the overview section you can either begin typing in the text box provided, double click to open a modified Word document, or copy and paste from a Word document outside the application to the modified Word document opened in the '07 Plan Overview text box.

For within all the Word documents on this screen, you can spell check by selecting “Tools” and then “Check Spelling” from the tool bar at the top of the Word document. You can also use the Word Edit features of “Copy”, “Paste”, “Find” and “Replace”. When you are finished with each narrative, select the “Save” button provided to save your document.

Program Components: To select the Program Components relevant to the current Strategic Objective, select the drop-down menu labeled “Add Component”. Select the appropriate component from the menu provided. Once a component has been selected, its name will appear in a list in the box below the component drop-down menu. Enter your text describing the component in the text box provided to the

left of the component menu. When you have finished the narrative for that component, select the “Save Component” button found below the component drop-down menu. You can delete any component previously selected by highlighting that component and then selecting the “Delete Component” button. You can review and edit the narrative for any component previously entered by highlighting that component from the list box on the right. The text for that component will appear once the component has been highlighted. There is a special section in “Help” which provides definitions for all program components. *These definitions can also be found in **Annex III** of this User’s Guide.*

Help is always available and can be accessed in a variety of ways. You can select the “F1” button from your keyboard to bring up help; you can select “Help” from the main toolbar at the top of the application; or you can “Right click your mouse button” within any section of the application to access context-sensitive help.

Page Count: To assist you in determining the approximate length for each narrative, a button at the top of the page has been provided that keeps a running tally of the number of pages in this section. As you add information to this section, click on the “Update Page Count” button to get an updated count of the total number of pages.

Printing:

Select the button “SO Performance Report” to generate a report for the Strategic Objective appearing on the drop-down menu. All SO Performance narratives are also provided as part of the “Annual Report” found under the Operating Unit tab.

5. SO Indicators

The AR Guidance states, “This section is required but will not be posted on the external web site. Operating Units must complete an indicator table for each SO for which it is still expending funds. The indicators in the table **must** be the indicators that the mission selected in January 2004 and against which performance was to be measured. (An e-mail was sent from PPC on Friday, January 09, 2004 at 12:17 PM EST reminding Operating Units to set written targets for all indicators that would be used to determine whether each SO exceeded, met, or did not meet its targets [ADS 203.3.8.2.b]).

These indicators **are not** the same as the indicators found in the “Operating Unit Performance Measures Table”.

If the indicators presented demonstrate that, overall, the SO failed to achieve its objectives, as noted above, the OU must include a discussion in its SO narrative section explaining the relationship between the indicators and the objective and what will be done to overcome the difficulties in the future.

For new SOs for which there may be no performance data (first obligation in FY 2004 or FY 2005), please enter the indicators you will use in the future to measure SO performance, and the corresponding baselines and targets.

Please see **Guidance Annex IV** for further instructions on how the indicator table should be filled out and the Freedoni SO performance narrative for examples. “

Indicators Table:

To use this section, first select the Strategic Objective from the drop-down menu provided at the top of the screen.

Use the “Indicator Name” box to insert the indicator name only. This box is not to be used for a description of the indicator. Indicators can be either added or deleted to the table provided. To edit an indicator name or indicator data, click on the cell that needs to be changed. All changes will automatically be saved by the application.

Please note the column labeled “**Weight:** enter 1 to 5.” This “weight” is to be used to state the relative importance of your indicators according to their relevance the operating unit places on them toward measuring the progress of the SO on a scale of one (1) to five (5), with a five being the highest score and one being the lowest. Please see Annex IV in the Annual Report Guidance for detailed guidance on what to consider when determining the contribution of an indicator in measuring SO progress.

Progress Direction: New to the table this year, you will also be asked to indicate the direction of progress for your indicator. This is new for this year, but is a minimal requirement that allows us to know the expected direction of progress. In the indicator table, if the direction of progress is expected to be positive, for example, you expect the number of loans to *increase*, enter a “+” sign in the row for that indicator. On the other hand, if the direction of progress in the indicator is expected to be negative, for example, you are aiming to *reduce* the number of maternal deaths, enter a “-“ in the row for that indicator.

Baseline, actual and target data: Please remember that only numerical values can be entered into these cells. Qualitative indicators must be translated to numerical codes. Alternatively, simply enter in the “actual” column a 1 if you met your target or a 0 if you failed to meet it. If an observation is **NA or N/A**, please leave the cell **blank**. *The indicator table will **only allow numerical** codes to be entered in the target or actual columns; you will not be able to enter alphabetical characters in these columns..*

Printing Indicator Tables:

Use the button labeled “SO Indicators” to print an indicator table for the Strategic Objective displayed on the screen. To view/print other indicator tables, select the desired Strategic Objective from the drop-down menu, and then click on the “Create SO Indicators” button. All Indicator Tables for all SOs will be printed in the “Annual Performance Document”.

6. Results Framework

The Results Framework section will contain a drop-down menu listing all Strategic Objectives for your operating unit. Like last year, any changes or additions made to Strategic Objectives in the budget section of the application will also be reflected here. This year the results frameworks **will be pre-populated** with last year’s indicator and IR-level information, if submitted. You may report up to three SO-level indicators for each SO.

Select each SO from the drop-down menu at the top of the page. Buttons are provided to add, delete, edit or cancel an indicator and to add, delete, edit or cancel Intermediate Result numbers and titles. Use the Notes box at the bottom of the screen to indicate any changes in Intermediate Results.

You can create a printed Results Framework report with the “Results Framework” button found at the top left hand portion of this table.

7. SO Closeout

From the AR Guidance, “USAID must have information on what has been accomplished over the life of an SO, specifically what is now different as a result of USAID’s efforts particularly relative to what we had intended to achieve. Where the SO is no longer being implemented, operating units **MUST** prepare a “close out” report, per the guidance in ADS 203.3.11. Generally, these reports are done as part of the Annual Report. If it is not possible for you to include the close out report in this year’s Annual Report, then operating units must state in their cover memos when the close out report will be submitted. Work with your Washington program office to set this date.”

In this section you must first choose the Strategic Objective you are reporting on from the drop-down menu at the top of the screen. Upon completion select another Strategic Objective from the drop down menu at the top of the page until all SOs have been completed.

You can either begin typing in the text box provided, double click to open a modified Word document, or copy and paste from a Word document outside the application to the modified Word document opened in the SO Closeout text box. Within the modified Word document you can also spell check by selecting “Tools” and then “Check Spelling” from the tool bar at the top of the Word document. You can also use the Word Edit features of “Copy”, “Paste”, “Find” and “Replace”. When you are finished with the SO Closeout document, select “File”, then “Save and Exit” from the tool bar at the top to save your document and exit back to the main SO Closeout screen.

Help is always available and can be accessed in a variety of ways. You can select the “F1” button from your keyboard to bring up help; you can select “Help” from the main toolbar at the top of the application; or you can “Right click your mouse button” within any section of the application to access context-sensitive help.

Printing: Once again, in this section you may print/view this report by clicking on the button “SO Closeout” for the current Strategic Objective selected. All SO closeout narratives will be part of the Annual Report available from the “Operating Unit” tab.

Annual Performance Narrative Report

To create a full Annual Performance report for your operating unit, first select the “Operating Unit” tab. Then click on the button found at right of the Operating Unit name labeled “Annual Report”. The Annual Report consists of the following sections: Cover Memo; Program Performance Summary, Environmental Compliance, ’04 SO Performance, ’07 SO Plan, SO Indicator Tables, Results Framework, SO Closeouts, and Resource Request.

Three points to remember:

1. If there is no text in a section which is not required, no section heading will be printed for that section, i.e., SO closeout report. HOWEVER, if there is no text in a section which is required, the following message will appear, "xxx-010 is missing the REQUIRED SO '04 Performance." In this case SO '04 Performance is the missing required field; the message will always indicate which required section is missing.
2. If there is no text in any required section for a Strategic Objective in the SO level narrative section, that Strategic Objective will not appear in the Annual Report.
If there is an Indicator for a Strategic Objective in the Indicators Table section, but no SO discussion in the SO-level narrative section, the message shown in above will appear. It is being assumed that if indicators are being submitted for an SO, it is necessary to also include a SO-level narrative discussion for that SO.
3. In addition to the full performance narrative report, each section found in the Performance Narrative section can be printed individually from the screen for that section, such as Cover Memo, Resource Request Narrative, etc.

Please Note:

Documents created reflect the current values that are saved in the Application. Any changes made to these printed reports WILL NOT BE SAVED in the Application." To save any changes made to these reports, you must go back to the appropriate section in the application and make the desired changes. If changes are made to these Microsoft Word documents, the changes can be highlighted in the Word document, and cut and pasted into the appropriate text box or section of the application.

Step Four: Document proofing and review

Preparing electronic and paper-copy drafts for review

The Application's ability to compile and print the budget tables or narratives at any time makes it easy to distribute hard copy or electronic versions for review purposes. It's vital, though, to make sure that the version of the table or narrative in the Application is amended to reflect any changes made in these stand-alone draft versions.

For example, you could produce a draft spreadsheet, save it as an excel file outside of the Application and give that file to a colleague for review. Your colleague could make some changes in that draft file or on a printed copy of that file. The draft file is now out of sync with the Application. Any edits made to the table would not be reflected in the Application until you went back to the Application and keyed the changes from the draft file into the table.

For this reason, you need to be very careful in distributing draft versions of the tables, and make sure that the version in the Application is the one that reflects all changes and edits.

Step Five: Transmission of completed Annual Report

The AR Application greatly simplifies the process of transmitting the Annual Report data to Washington this year.

How to transmit your Annual Report to Washington:

Click on the menu selection at the top of the main screen labeled “Submit.” After selecting “Submit” you will see a screen with two options, “Run Test” and “Submit AR to Washington”. The “Run Test” button allows you to check to be sure that all Primary Emphasis Coding, links to Primary Performance Goals, and Workforce/SO linkages are complete. Be sure to “test” your data before submitting. When you are sure that all required budget and narrative information is complete, click on “Submit”. Once you have initiated the submission, a message will appear on the screen stating that the file is being submitted. Through an Internet Web services connection, your Annual Report database will automatically be submitted to the USAID/Development Experience Clearinghouse for processing. Once transmission is complete and the file has been successfully received at the DEC a message will appear stating that the file has successfully been transmitted. If there are any problems with the submission, a message will appear stating that the file was not successfully transmitted.

Your data will be made accessible to your AID/W regional bureau for review within approximately 24 hours of receipt by the DEC.

Please be sure that both the budget request portion AND the performance narrative and CBJ portions of the AR Application are completely finished before submitting.

Annex A: Primary/Secondary Emphasis Codes, Definitions, Contacts

Primary Emphasis Codes

ECONOMIC GROWTH, AGRICULTURE AND TRADE

Pillar: EGAT

AR Budget Category: Economic Growth

AR Budget Sub-Category: Trade Capacity

Primary Code: **EGIT**

Description: International Trade

Definition: Activities with a primary purpose of building the capacity of developing and transition countries to participate in and benefit from expanding global trade. Activities include: educating negotiators from developing countries to participate in complex trade talks and agreements such as the World Trade Organization; helping countries carry out trade agreements that may require special reporting and institutions; and improving economic responsiveness to opportunities for trade.

Point of Contact: Dan Rathbun 712-5181

Pillar: EGAT

AR Budget Category: Economic Growth

AR Budget Sub-Category: Other Economic Growth

Primary Code: **EGED**

Description: Enterprise Development

Definition: Activities with a primary purpose of developing private enterprises either directly or through specific improvements in the business growth environment. Activities include efforts to expand access of private enterprises (including small- and medium-sized enterprises) to domestic and international markets either by strengthening individual companies, building 'competitiveness clusters,' or through other kinds of sector wide or sub-sector initiatives. These exclude activities focused only on microenterprise development (see PRMD).

Point of Contact: Stephen Hadley 712-5547

Pillar: EGAT

AR Budget Category: Economic Growth

AR Budget Sub-Category: Other Economic Growth

Primary Code: **EGFM**

Description: Financial Markets

Definition: Activities with a primary purpose of strengthening financial markets. Activities include: improvements in central banking; financial regulation and supervision; pension and insurance reform; capital market development and regulation; asset management; support for the development or expansion of specific financial markets; and private financial institutions.

Point of Contact: Stephen Hadley 712-5547

Pillar: EGAT

AR Budget Category: Economic Growth

AR Budget Sub-Category: Other Economic Growth

Primary Code: **EGLI**

Description: Legal and Institutional Reform

Definition: Activities with a primary purpose of reforming laws, regulations, and/or public organizations to promote open, competitive, and trade- and investment-friendly economies. Activities include efforts to: develop institutional capacity; support legal assessments; draft and enact legislation; and support enforcement of and compliance with economic laws and regulations. These exclude anti-corruption specific laws (see DGAC).

Point of Contact: Stephen Hadley 712-5547

Pillar: EGAT

AR Budget Category: Economic Growth

AR Budget Sub-Category: Other Economic Growth

Primary Code: **EGME**

Description: Macroeconomic Policy Reform

Definition: Activities with a primary purpose of encouraging macroeconomic policy reforms supportive of broadly-accessible economic freedom and opportunity. Activities involve: monetary, fiscal, public expenditure; trade and exchange rate; national income accounting; labor market analysis and other economy-wide reform policies.
Point of Contact: Stephen Hadley 712-5547

Pillar: EGAT
AR Budget Category: Economic Growth
AR Budget Sub-Category: Other Economic Growth
Primary Code: **EGPR**
Description: Privatization

Definition: Activities with a primary purpose of transferring government-owned or government-controlled enterprises and assets to private individuals, groups of individuals (e.g., employees) or companies. Activities include efforts to support the process of privatization, including changes in legal and regulatory structures that facilitate/promote privatization, competition, and private provision of public services.
Point of Contact: Stephen Hadley 712-5547

Pillar: EGAT
AR Budget Category: Economic Growth
AR Budget Sub-Category: Other Economic Growth
Primary Code: **POSE**
Description: Political/Security Assistance

Definition: Assistance provided only for political, security and/or foreign policy reasons. This code should be used for the South Pacific Tuna Treaty and Israel cash transfer and other cash transfers, CIP's or ESF funded activities not attributable to other primary codes.
Point of Contact: Stephen Hadley 712-5547

Pillar: EGAT
AR Budget Category: Economic Growth
AR Budget Sub-Category: Other Economic Growth
Primary Code: **EGNS**
Description: Economic Growth Not Specified

Definition: Use this code for economic development activities that are not yet sufficiently designed or are too multifunctional to be captured by the other economic growth primary codes above.
Point of Contact: Stephen Hadley 712-5547

Pillar: EGAT
AR Budget Category: Economic Growth
AR Budget Sub-Category: Other Economic Growth
Primary Code: **INTR**
Description: Transport

Definition: Activities with a primary purpose of improving infrastructure designed to speed up the flow of goods and services. Activities include: engineering design; procurement of equipment; new construction or rehabilitation of roads, rail, and port facilities; reform of management, financial and/or operational performance of transport systems.
Point of Contact: Stephen Hadley 712-5547

Pillar: EGAT
AR Budget Category: Economic Growth
AR Budget Sub-Category: Other Economic Growth
Primary Code: **PRMD**
Description: Microenterprise Development

Definition: Activities with a primary purpose of expanding informally-organized businesses – excluding crop production – operated by the poor and employing fewer than 10 persons. Activities involve: institutional and product development for the provision of all forms of financial assistance; business development services; and policies to improve the environment for microenterprise expansion.
Point of Contact: Stephen Hadley 712-5547

Pillar: EGAT

AR Budget Category: Economic Growth

AR Budget Sub-Category: Other Economic Growth

Primary Code: **PRUD**

Description: Urban Development for the Poor

Definition: Activities with a primary purpose of promoting improved quality of life for the urban poor. Activities involve: strengthening infrastructure to promote pro-poor urban governance processes; expanding employment opportunities for poor urban dwellers; expanding access to housing, education, and social services for the urban poor; and reforming related policy and regulatory frameworks and institutions.

Point of Contact: Stephen Hadley 712-5547

Pillar: EGAT

AR Budget Category: Economic Growth

AR Budget Sub-Category: Other Economic Growth

Primary Code: **PRSN**

Description: Social Protection/Safety Net

Definition: Activities with a primary purpose of promoting development of sustainable and affordable safety nets for food, housing and other basic needs. Activities include: targeted income supplements; delivery of food aid and other humanitarian assistance; and pension or other wage compensation support.

Point of Contact: Stephen Hadley 712-5547

Pillar: EGAT

AR Budget Category: Economic Growth

AR Budget Sub-Category: Other Economic Growth

Primary Code: **PRNS**

Description: Poverty Reduction Not Specified

Definition: Use this code for poverty reduction activities that are not yet sufficiently designed or are too multifunctional to be captured by the other primary poverty reduction codes above.

Point of Contact: Stephen Hadley 712-5547

Pillar: EGAT

AR Budget Category: Agriculture

AR Budget Sub-Category: Agriculture

Primary Code: **AGPP**

Description: Agriculture Production and Productivity

Definition: Activities with a primary purpose of increasing the quantity or quality of production of crops, fish, or livestock intended for human consumption. Activities include efforts to: increase production of animal feed; improve health care for fish or animals; produce fiber for family or commercial use; develop and promote the use of new technologies; train farmers; develop cooperatives; and organize community resource management or production.

Point of Contact: Roger Bloom 712-0484

Pillar: EGAT

AR Budget Category: Agriculture

AR Budget Sub-Category: Agriculture

Primary Code: **AGBT**

Description: Agribusiness, Markets and Trade

Definition: Activities with a primary purpose of enhancing marketing, agricultural product sales (crops, fish, livestock, nonfood products such as flowers or fiber) and inputs (fertilizers, seeds, etc.) in local, regional, and international markets. Activities aim to develop markets and build the capacity of farmers' organizations and countries to trade in those markets (e.g., training in sanitary-phyto-sanitary standards).

Point of Contact: Roger Bloom 712-0484

Pillar: EGAT

AR Budget Category: Agriculture

AR Budget Sub-Category: Agriculture

Primary Code: **AGPI**

Description: Agriculture Policies and Institutions

Definition: Activities undertaken by governmental and nongovernmental organizations with a primary purpose of supporting the development of sectoral policies, action plans and institutions that promote the growth of the agricultural sector and its ability to meet both food and income needs. Activities include: national or regional agricultural sector or sub-sector assessments; negotiation of regional or international policies and regulations related to agriculture; development of statistics or other analytical tools to measure agricultural variables; formulation of policies and action plans to manage the challenge of HIV/AIDS in agriculture; coordination of agricultural programs with other donors; and the general development of science and technology policies and institutions that support agriculture.

Point of Contact: Roger Bloom 712-0484

Pillar: EGAT

AR Budget Category: Agriculture

AR Budget Sub-Category: Agriculture

Primary Code: **AGRD**

Description: Rural Development

Definition: Activities with a primary purpose of integrating agricultural development efforts within a larger context of regional development, rural development, and/or multi-sectoral development in largely rural areas. Activities include community-based natural resource management to promote agricultural production, wildlife conservation, and management of water resources for both production and domestic uses.

Point of Contact: Roger Bloom 712-0484

Pillar: EGAT

AR Budget Category: Agriculture

AR Budget Sub-Category: Agriculture

Primary Code: **AGNS**

Description: Agriculture Not Specified

Definition: Use this code for agricultural development activities that are not yet sufficiently designed or are too multifunctional to be captured by the other agriculture primary codes above.

Point of Contact: Roger Bloom 712-0484

Pillar: EGAT

AR Budget Category: Environment

AR Budget Sub-Category: Biodiversity

Primary Code: **NRBC**

Description: Biodiversity Conservation

Definition: Activities have a primary objective of conserving biological diversity in natural and managed terrestrial and aquatic ecosystems. Activities are identified through an analysis of the threats to biodiversity and have associated indicators for biodiversity conservation, preferably at the strategic objective level. Activities may be site-based or not site specific, such as policy level initiatives. Site-based work is implemented in biologically significant areas. *Ex situ* conservation of wild species, and their germplasm, may also be included when explicitly for the purpose of biodiversity conservation.

Point of Contact: Cynthia Gill 712-4177

Pillar: EGAT

AR Budget Category: Environment

AR Budget Sub-Category: Energy

Primary Code: **INEN**

Description: Energy

Definition: Activities with a primary purpose of increasing access to environmentally sound energy and improved environmental management practices. Activities include efforts to: promote clean energy technology; improve policy, legal, and regulatory energy frameworks; increase institutional capacity; and augment public participation in decision-making regarding delivery of energy and related environmental management services.

Point of Contact: Griffin Thompson 712-1750

Pillar: EGAT

AR Budget Category: Environment

AR Budget Sub-Category: Other Environment

Primary Code: **NRFR**

Description: Forest Resources

Definition: Activities with a primary purpose of promoting ecologically sustainable management of forests and other tree systems. Activities include: production of forest products; agro-forestry; integrated watershed protection using forest resources; restoration of degraded lands; maintenance of sustainable forest habitat for animals; forest certification programs; activities to reduce illegal or destructive logging; and research, policy, or regulatory reform in support of forest resource management.

Point of Contact: David Hess (currently can be reached only by email)

Pillar: EGAT

AR Budget Category: Environment

AR Budget Sub-Category: Other Environment

Primary Code: **NRLR**

Description: Non-Forest Land Resources

Definition: Activities with a primary purpose of supporting or promoting ecological sustainability on non-forest land. Activities include: mapping to classify and/or integrate information about land resources (soil, water, slope, capability); management of soils and grasslands; reversal of desertification through a range of non-forest interventions; integrated pest management; and promotion of policy, institutional, and regulatory reform for terrestrial natural resource management and use.

Point of Contact: David Hess (currently can be reached only by email)

Pillar: EGAT

AR Budget Category: Environment

AR Budget Sub-Category: Other Environment

Primary Code: **NRFW**

Description: Fresh Water Resources

Definition: Activities with a primary purpose of promoting sustainable management of fresh water resources. Activities involve river basins, aquifers, and lakes used for potable water, fresh water fisheries, agricultural, industrial, and urban uses. Activities address: water quality and supply; water policy; and integrated water resources management. An activity in which irrigation development is undertaken to support increased production/productivity should be coded as AGPP rather than as NRFW. An activity in which management of irrigation systems to assure access to water by both producers and urban water consumers should be coded as NRFW.

Point of Contact: David Hess (currently can be reached only by email)

Pillar: EGAT

AR Budget Category: Environment

AR Budget Sub-Category: Other Environment

Primary Code: **NRCR**

Description: Coastal Resources

Definition: Activities with a primary purpose of promoting conservation and sustainable management of coastal resources for fishing, tourism, and other types of environmental services. Activities include development and implementation of policies and institutions, including communities, to improve short and long-term management of coastal resources. Exclude marine protected areas (see NRBC).

Point of Contact: David Hess (currently can be reached only by email)

Pillar: EGAT

AR Budget Category: Environment

AR Budget Sub-Category: Other Environment

Primary Code: **NRGC**

Description: Global Climate Change

Definition: Activities with a primary purpose of addressing global climate change. Activities include: preparing greenhouse gas inventories and actions plans; promoting achievement of the goals of the UN Framework Convention on Climate Change; reducing, measuring, monitoring or reporting greenhouse gas emissions; and assessing or reducing vulnerability while increasing adaptation to the impacts of climate change.

Point of Contact: David Hess (currently can be reached only by email)

Pillar: EGAT

AR Budget Category: Environment

AR Budget Sub-Category: Other Environment

Primary Code: **NRNS**

Description: Environment Not Specified

Definition: Use this code for natural resource management activities that are not yet sufficiently designed or are too multifunctional to be captured by other natural resource primary codes above.

Point of Contact: : David Hess (currently can be reached only by email)

Pillar: EGAT

AR Budget Category: Environment

AR Budget Sub-Category: Other Environment

Primary Code: **INSW**

Description: Sanitation, Waste Management

Definition: Activities with a primary purpose of increasing access to sanitation and waste management services. Activities include: financing for construction of infrastructure; engineering design; procuring equipment; construction; and organizing development and policy reforms for management, operation, or accessibility of sanitation and waste management systems.

Point of Contact: David Hess (currently can be reached only by email)

Pillar: EGAT

AR Budget Category: Education

AR Budget Sub-Category: Children's Basic Education

Primary Code: **EDEC**

Description: Basic Education for Children

Definition: Activities with a primary purpose of providing basic skills to enhance participation in the economy, development of democratic values, and nation building. Basic education includes early childhood development, primary school, literacy and numeracy, community/school support, school management and education policy. Activities focus on development of: statistical records; teacher training; curriculum; management information systems that enable education leaders and managers to plan for efficient system growth; and general support for pre-primary, primary and secondary education.

Point of Contact: Gregory Loos 712-4175

Pillar: EGAT

AR Budget Category: Education

AR Budget Sub-Category: Children's Basic Education

Primary Code: **EDSE**

Description: Secondary Education

Definition: Activities with a primary purpose of providing formal secondary education to enhance participation in the economy, development of democratic values, and nation building. Activities include the development of: secondary education curricula; school management and education policy; and management information systems that enable education leaders and managers to plan for efficient system growth.

Point of Contact: Martin Hewitt 712-1531

Pillar: EGAT

AR Budget Category: Education

AR Budget Sub-Category: Adult Literacy

Primary Code: **EDAL**

Description: Adult Literacy

Definition: Activities with a primary purpose of enabling adolescents and adults to acquire basic skills and knowledge (including literacy and numeracy) for social and economic participation.

Point of Contact: Gregory Loos 712-4175

Pillar: EGAT

AR Budget Category: Education

AR Budget Sub-Category: Higher Education/ Work Force Development

Primary Code: **EDWD**

Description: Workforce Development

Definition: Activities with a primary purpose of helping youth and adults acquire the knowledge and skills to find work and stay employed in a changing economy. Activities include the establishment or improvement of formal and informal systems to increase private investment in on-the-job training.

Point of Contact: Martin Hewitt 712-1531

Pillar: EGAT

AR Budget Category: Education

AR Budget Sub-Category: Higher Education/ Work Force Development

Primary Code: **EDHE**

Description: Higher Education

Definition: Activities with a primary purpose of expanding the role of institutions of higher learning in sustainably providing education and training services relevant to local development needs/job markets. Institutions include: universities, community colleges and research and other advanced technical institutions. Activities involve: strengthening of curricula; improved management of institutions; and development of policies and programs that provide equitable access to higher education for all members of society.

Point of Contact: Martin Hewitt 712-1531

Pillar: EGAT

AR Budget Category: Education

AR Budget Sub-Category: Higher Education/ Work Force Development

Primary Code: **EDTR**

Description: Training

Definition: Activities with a primary purpose of creating human capital to support economic, social and democratic development. Training may be conducted in or outside the host country; it may be short or long-term and in any of a range of subject areas.

Point of Contact: Martin Hewitt 712-1531

Pillar: EGAT

AR Budget Category: Education

AR Budget Sub-Category: Higher Education/ Work Force Development

Primary Code: **EDEV**

Description: Development Education (LPA use only)

Definition: Activities with a primary purpose of educating American citizens about U.S. humanitarian relief and development programs overseas. This code is used by LPA only.

Point of Contact: Cynthia Tucker 712-0068

Pillar: EGAT

AR Budget Category: Education

AR Budget Sub-Category: Higher Education/ Work Force Development

Primary Code: **INIT**

Description: Information/Communication Technology

Definition: Activities with a primary purpose of developing infrastructure, sectors and systems which apply information and communication technology to achieve a wide array of development objectives. Activities include: policy, legal, and regulatory reform; support for infrastructure; training for both public and private sector participants; development of community, national, and regional telecommunication and computer information systems; and efforts to bridge the “digital divide” and increase investments in the sector, especially to reach the underserved.

Point of Contact: Martin Hewitt 712-1531

Pillar: DCHA

AR Budget Category: Education

AR Budget Sub-Category: Higher Education/ Work Force Development

Primary Code: **ASHA**

Description: American Schools and Hospitals Abroad (DCHA use only)

Definition: Activities with a primary purpose of: providing grants to competitively selected private, non-profit universities and secondary schools, libraries, and medical centers abroad; serving as demonstration and study centers which foster

interchange, mutual understanding, and favorable relations with the U.S.; and promoting civil societies. This code is used by DCHA only.

Point of Contact: Carmelita Maness 712-11

Pillar: EGAT

AR Budget Category: Education

AR Budget Sub-Category: Higher Education/ Work Force Development

Primary Code: **EDNS**

Description: Education Not Specified

Definition: Use this code for education development activities that are not yet sufficiently designed or are too multifunctional to be captured by other primary educational development codes.

Point of Contact: Martin Hewitt 712-1531

GLOBAL HEALTH

Pillar: GH

AR Budget Category: Child Survival/Maternal Health

AR Budget Sub-Category: Primary Causes of Morbidity and Mortality

Primary Code: **BREC**

Description: Breastfeeding/CHS

Definition: Activities with a primary purpose of promoting breastfeeding to improve child health, nutrition, and child spacing.

Point of Contact: Al Bartlett 712-0991

Pillar: GH

AR Budget Category: Child Survival/Maternal Health

AR Budget Sub-Category: Primary Causes of Morbidity and Mortality

Primary Code: **ENVC**

Description: Environmental Health/CHS

Definition: Activities with a primary purpose of addressing environmental risk factors for priority maternal child health issues. Risk factors addressed include poor hygiene (including unsafe household-level water quality, inadequate hand-washing, unsanitary feces disposal, and unsafe food handling); poor household water security including community water supply; environmental sanitation (including community sanitation, solid waste disposal, and drainage); vector control; and indoor and outdoor air pollution.

Point of Contact: Al Bartlett 712-0991

Pillar: GH

AR Budget Category: Child Survival/Maternal Health

AR Budget Sub-Category: Primary Causes of Morbidity and Mortality

Primary Code: **IMMN**

Description: Immunization

Definition: Activities with a primary purpose of producing, testing, quality control, distribution, and delivery of vaccines, including maternal tetanus toxic immunization. This code excludes polio eradication (see PLIO).

Point of Contact: Al Bartlett 712-0991

Pillar: GH

AR Budget Category: Child Survival/Maternal Health

AR Budget Sub-Category: Primary Causes of Morbidity and Mortality

Primary Code: **MHCS**

Description: Maternal Health/CHS

Definition: Activities with a primary purpose of affecting child health and survival by promoting the health of adolescent girls and women of reproductive age, improving pregnancy outcomes, reducing adverse pregnancy outcomes, and improving prenatal and delivery services and neonatal care to promote healthy births.

Point of Contact: Al Bartlett 712-0991

Pillar: GH

AR Budget Category: Child Survival/Maternal Health

AR Budget Sub-Category: Primary Causes of Morbidity and Mortality

Primary Code: **MHSP**

Description: Maternal Health/Safe Pregnancy

Definition: Activities with a primary purpose of promoting health of adolescent girls and women of reproductive age, reducing reproductive morbidity and mortality, and improving pregnancy outcomes. Activities include: antenatal services; planning for birth; recognition of complications; emergency planning; clean and safe birth; treatment of obstetrical complications; and postpartum care.

Point of Contact: Al Bartlett 712-0991

Pillar: GH

AR Budget Category: Child Survival/Maternal Health

AR Budget Sub-Category: Primary Causes of Morbidity and Mortality

Primary Code: **NUTM**

Description: Other Nutrition/Maternal Health

Definition: As part of a maternal health effort, activities with a primary purpose of improving the nutritional status of adolescent girls and women to raise health status, improving pregnancy outcomes, and improving productivity and purchasing power. This code does not include micronutrients (see MICR).

Point of Contact: Al Bartlett 712-0991

Pillar: GH

AR Budget Category: Child Survival/Maternal Health

AR Budget Sub-Category: Primary Causes of Morbidity and Mortality

Primary Code: **PARM**

Description: Policy Analysis, Reform and Systems Strengthening/Maternal Health

Definition: Activities with a primary purpose of improving or enhancing the functioning of general maternal health systems. Activities include sector reform; quality assurance; pharmaceutical; information systems; monitoring/analysis of demographic and health data; program improvements such as policy, evaluation, strategic planning and resource allocation; and health care financing mechanisms, such as cost control, user fees, privatization, and health insurance programs.

Point of Contact: Al Bartlett 712-0991

Pillar: GH

AR Budget Category: Child Survival/Maternal Health

AR Budget Sub-Category: Primary Causes of Morbidity and Mortality

Primary Code: **PARC**

Description: Policy Analysis, Reform and Systems Strengthening/CHS

Definition: Activities with a primary purpose of improving or enhancing the functioning of health systems. Activities include sector reform; quality assurance; pharmaceutical; information systems; monitoring/analysis of demographic and health data; program improvements such as policy, evaluation, strategic planning and resource allocation; and health care financing mechanisms, such as cost control, user fees, privatization, and health insurance programs.

Point of Contact: Al Bartlett 712-0991

Pillar: GH

AR Budget Category: Child Survival/Maternal Health

AR Budget Sub-Category: Polio

Primary Code: **PLIO**

Description: Polio Eradication

Definition: Activities with a primary purpose of eradicating polio, maintaining polio-free status, and contributing to the development of sustainable immunization and disease control programs in conjunction with polio eradication activities.

Point of Contact: Ellyn Ogden 712-5891

Pillar: GH

AR Budget Category: Child Survival/Maternal Health

AR Budget Sub-Category: Micronutrients

Primary Code: **VITA**

Description: Vitamin A/CHS

Definition: Activities with a primary purpose of supporting the control and prevention of Vitamin A deficiencies.

Point of Contact: Frances Davidson 712-0982

Pillar: GH

AR Budget Category: Child Survival/Maternal Health

AR Budget Sub-Category: Micronutrients

Primary Code: **MICR**

Description: Other Micronutrients

Definition: Activities with a primary purpose of controlling and preventing micronutrient deficiencies, including iodine, iron, zinc, etc., either singly or in combination. This code excludes Vitamin A (see VITA).

Point of Contact: Frances Davidson 712-0982

Pillar: GH

AR Budget Category: Vulnerable Children

AR Budget Sub-Category: Displaced Children and Orphans Fund

Primary Code: **DCOF**

Description: Orphans and Displaced Children

Definition: Activities with a primary purpose of providing financial and technical assistance for the care and protection of children and adolescents who are displaced or vulnerable due to separation from their families, are at great risk of losing family care and protection, or exposed to other sources of extreme duress. Activities focus on: children affected by war, including child soldiers; children with disabilities; and other disenfranchised or unaccompanied children such as street children. Activities emphasize strengthening family and community capacity for identifying and responding to the special physical, social, educational, and emotional needs of these children.

Point of Contact: Lloyd Feinberg 712-5725

Pillar: GH

AR Budget Category: Vulnerable Children

AR Budget Sub-Category: Other Vulnerable Children

Primary Code: **OTVC**

Description: Other Vulnerable Children

Definition: Activities with a primary purpose of funding activities that Congress has identified as important in assisting disadvantaged children. Activities support NGOs, such as Special Olympics, that work with children and adolescents with cognitive and/or physical disabilities. This code excludes victims of war (see HRVW) and victims of torture (see HRVT).

Point of Contact: Lloyd Feinberg 712-5725

Pillar: GH

AR Budget Category: Vulnerable Children

AR Budget Sub-Category: Blind Children

Primary Code: **OTBC**

Description: Blind Children

Definition: Activities with a primary purpose of funding the activities of Helen Keller Worldwide and other organizations that focus on preventing blindness among children through simple and inexpensive methods of prevention and treatment.

Point of Contact: Frances Davidson 712-0982

Pillar: GH

AR Budget Category: Vulnerable Children

AR Budget Sub-Category: Orphanages in Eastern Europe

Primary Code: **ORPH**

Description: Orphanages in Eastern Europe

Definition: Activities with a primary purpose of assisting orphans in Russia and Eastern Europe. Activities are specific to the E&E region and are financed by Assistance to Eastern Europe and the Baltics (AEEB) or Freedom Support Act (FSA) funds only. Programs focus on reducing the number of children entering state orphanages and work in cooperation with orphanage officials to meet the immediate medical and basic needs of these children.

Point of Contact: Paul Holmes 712-1239

Pillar: GH
AR Budget Category: AIDS
AR Budget Sub-Category: AIDS
Primary Code: **AIDS**
Description: HIV/AIDS
Definition: All HIV/AIDS activities.
Point of Contact: John Novak 712-4814

Pillar: GH
AR Budget Category: Infectious Diseases
AR Budget Sub-Category: Tuberculosis
Primary Code: **TUBD**
Description: Tuberculosis
Definition: Activities with a primary purpose of preventing, controlling, or treating tuberculosis. Activities include: research and interventions to address drug-resistant strains of tuberculosis.
Point of Contact: Irene Koek 712-5403

Pillar: GH
AR Budget Category: Infectious Diseases
AR Budget Sub-Category: Malaria
Primary Code: **MALD**
Description: Malaria
Definition: Activities with a primary purpose of prevention, control, and treatment of malaria within the general population, including activities to address drug-resistant strains of malaria.
Point of Contact: Irene Koek 712-5403

Pillar: GH
AR Budget Category: Infectious Diseases
AR Budget Sub-Category: Antimicrobial Resistance
Primary Code: **AMRD**
Description: Antimicrobial Resistance, Surveillance, and Other Infectious Diseases
Definition: Activities with a primary purpose of combating the emergence and spread of antimicrobial resistance including drug-resistant strains of pneumonia, bacterial dysentery, sexually transmitted infections and other diseases. Activities include: improved technical guidelines; policies; management and use of antimicrobials; monitoring for antimicrobial resistance and continued drug efficacy; and vaccine development, particularly for pneumonia and diarrheal diseases.
Point of Contact: Irene Koek 712-5403

Pillar: GH
AR Budget Category: Infectious Diseases
AR Budget Sub-Category: Antimicrobial Resistance
Primary Code: **SURV**
Description: Surveillance and Response
Definition: Activities with a primary purpose of improving national, regional, and international capacity and systems for surveillance of major communicable and infectious diseases and of drug resistance. This code excludes surveillance activities counted under polio.
Point of Contact: Irene Koek 712-5403

Pillar: GH
AR Budget Category: Infectious Diseases
AR Budget Sub-Category: Antimicrobial Resistance
Primary Code: **OTID**
Description: Other Infectious Diseases
Definition: Activities with a primary purpose of preventing, controlling, or treating other infectious diseases of significant public health impact, such as dengue, meningitis, leishmaniasis, etc., other than those included under child survival programs.
Point of Contact: Irene Koek 712-5403

Pillar: GH

AR Budget Category: Family Planning

AR Budget Sub-Category: Family Planning/ Reproductive Health

Primary Code: **PBFL**

Description: Breastfeeding/Population

Definition: Activities with a primary purpose of promoting breastfeeding and Lactation Amenorrhea Method (LAM) in order to prevent unintended and mistimed pregnancies.

Point of Contact: Tara Lewing 712-0788

Pillar: GH

AR Budget Category: Family Planning

AR Budget Sub-Category: Family Planning/ Reproductive Health

Primary Code: **PNON**

Description: Non-Family Planning Activities/Reproductive Health Activities

Definition: Activities with a primary purpose of enhancing the demand and use of family planning services in related health and non-health areas such as female education and empowerment.

Point of Contact: Tara Lewing 712-0788

Pillar: GH

AR Budget Category: Family Planning

AR Budget Sub-Category: Family Planning/ Reproductive Health

Primary Code: **PDAE**

Description: Policy, Data Analysis and Evaluation

Definition: Activities with a primary purpose of developing, refining and/or evaluating population and family planning policies and programs. Activities include: policy development; systems strengthening; strategic planning and resource allocation; the collection/monitoring/analysis of demographic and health data; and related training and research.

Point of Contact: Tara Lewing 712-0788

Pillar: GH

AR Budget Category: Family Planning

AR Budget Sub-Category: Family Planning/ Reproductive Health

Primary Code: **PAFP**

Description: Family Planning Services

Definition: Activities with a primary purpose of providing family planning services. Activities include: support for service delivery programs; information, education and communication activities; the purchase and delivery of contraceptives; logistics training and management capacity building; and biomedical and operations research.

Point of Contact: Tara Lewing 712-0788

Pillar: GH

AR Budget Category: Family Planning

AR Budget Sub-Category: Family Planning/ Reproductive Health

Primary Code: **PIRH**

Description: Integrated Reproductive Health

Definition: Reproductive health activities with a primary purpose not captured under family planning or breastfeeding but closely related. Activities include: post-abortion care, female genital cutting, integrated family planning/HIV/STD activities, integrated family planning/safe motherhood activities, and non-family planning aspects of adolescent reproductive health.

Point of Contact: Tara Lewing 712-0788

DEMOCRACY, CONFLICT AND HUMANITARIAN ASSISTANCE

Pillar: DCHA

AR Budget Category: Democracy and Governance

AR Budget Sub-Category: Rule of Law

Primary Code: **DGHR**

Description: Human Rights

Definition: Activities with a primary purpose of strengthening the awareness of, and adherence to, internationally recognized human rights. Activities include: support for independent human rights groups that monitor human rights performance, represent victims of human rights abuse and advocate for legal reforms; support for human rights-related education programs (formal and non-formal); and the protection of ethnic, religious and cultural minorities and women. This code excludes legislatively-mandated funding for victims of war, victims of torture, and trafficking in persons.

Point of Contact: Jose Garzon 712-5212

Pillar: DCHA

AR Budget Category: Democracy and Governance

AR Budget Sub-Category: Rule of Law

Primary Code: **DGLJ**

Description: Legal and Judicial Development

Definition: Activities with a primary purpose of supporting the institutional strengthening of legal and judicial systems.

Activities include: improving legal education; judicial system reform; support for an independent judiciary; expanded legal assistance and legal services; improved administration of justice, such as prosecutorial and police training; and support for reform and simplification of the regulatory system.

Point of Contact: Jose Garzon 712-5212

Pillar: DCHA

AR Budget Category: Democracy and Governance

AR Budget Sub-Category: Political Processes

Primary Code: **DGPP**

Description: Political Party Support

Definition: Activities with a primary purpose of strengthening the organizational capacity and professionalism of political parties so that they may better represent their constituencies and enhance their ability to develop issue-oriented platforms, mount campaigns, form coalitions, and execute their legislative and administrative responsibilities. This includes post-election training for newly elected and appointed officials.

Point of Contact: Michelle Schimpp 712-5039

Pillar: DCHA

AR Budget Category: Democracy and Governance

AR Budget Sub-Category: Political Processes

Primary Code: **DGEA**

Description: Elections Assistance

Definition: Activities with a primary purpose of strengthening electoral systems and processes that support election observation and monitoring and voter education and registration. Activities include: voter education; election monitoring; support for international observer delegations; and assistance (both technical and commodities procurement) to elections commissions and non-governmental organizations involved with nonpartisan election administration.

Point of Contact: Michelle Schimpp 712-5039

Pillar: DCHA

AR Budget Category: Democracy and Governance

AR Budget Sub-Category: Civil Society

Primary Code: **DGCS**

Description: Civil Society - General

Definition: Activities with a primary purpose of strengthening the capacity of civic groups, professional associations, and other non-governmental advocacy groups to articulate and represent their members' interests and/or those of the public at large in regard to democracy/governance practices. Activities aim to: strengthen civic participation and increase influence of local groups through voluntary and grassroots organizations and contribute to an active civil society. This code excludes labor activities (see DGLA).

Point of Contact: Gary Hansen 712-1521

Pillar: DCHA

AR Budget Category: Democracy and Governance

AR Budget Sub-Category: Civil Society

Primary Code: **DGLA**

Description: Labor

Definition: Activities with a primary purpose of promoting the independence of labor unions, strengthening their capacity to promote trade union democracy and assuring a balance between national economic and social policy objectives. Activities aim to: strengthen union self-sustainability; enhance their ability to organize, represent their members, and participate meaningfully without interference in the democratic process; promote sound industrial relations policies; promote sustainable economic growth strategies in dialogue with the business community and government; and monitor and promote national adherence to internationally recognized worker rights.

Point of Contact: Gary Hansen 712-1521

Pillar: DCHA

AR Budget Category: Democracy and Governance

AR Budget Sub-Category: Governance

Primary Code: **DGAC**

Description: Anti Corruption/Government Transparency and Accountability

Definition: Activities with a primary purpose of reducing corruption or increasing transparency and accountability on the part of government.

Point of Contact: Neil Levine 712-0121

Pillar: DCHA

AR Budget Category: Democracy and Governance

AR Budget Sub-Category: Governance

Primary Code: **DGOV**

Description: Other Governance

Definition: Any governance activity not specifically targeted at anti-corruption, such as legislative strengthening, democratic decentralization, civil-military relations and strengthening government's ability to implement policy change.

Point of Contact: Neil Levine 712-0121

Pillar: DCHA

AR Budget Category: Human Rights

AR Budget Sub-Category: Victims of War

Primary Code: **HRVW**

Description: Victims of War

Definition: Activities with a primary purpose of expanding access to affordable and appropriate prosthetic, orthotic, and other orthopedic services. Intended beneficiaries are people with disabilities, primarily those who suffer from mobility-related injuries - caused by unexploded ordnance (UXO), including antipersonnel landmines - and other direct and indirect causes of physical disability (such as polio and other preventable diseases that might result from interrupted immunization campaigns). Activities also support the improvement of medical and surgical services (as they pertain to war victims), developing and enforcing laws and policies regarding people with disabilities, promoting NGO and governmental partnerships, and expanding barrier-free accessible employment and other economic opportunities.

Point of Contact: Lloyd Feinberg 712-5725

Pillar: DCHA

AR Budget Category: Human Rights

AR Budget Sub-Category: Victims of Torture

Primary Code: **HRVT**

Description: Victims of Torture

Definition: Activities with a primary purpose of eliminating the use of torture in the developing world and to ensure that the survivors of torture, their families and communities receive the support they need to quell suffering and rekindle vital connections to daily life. Activities address the psycho-social and physical trauma caused by torture, affirm the dignity of survivors and address the physical and psycho-social needs of torture victims, their families and communities.

Point of Contact: Lloyd Feinberg 712-5725

Pillar: DCHA

AR Budget Category: Human Rights

AR Budget Sub-Category: Trafficking in Persons

Primary Code: **HRTR**

Description: Trafficking in Persons

Definition: Activities with a primary purpose of curtailing the recruitment, transportation, purchase, sale, transfer or harboring of women or children (male or female) within or across national borders into sexually or economically exploitive situations, illegal activities, such as forced domestic labor, clandestine employment, false adoption and marriage, slavery and/or involuntary abduction into armed conflict. Activities include awareness, prevention, repatriation, rehabilitation, protection, prosecution, and advocacy programs.

Point of Contact: Mary Knox 712-0978

Pillar: DCHA

AR Budget Category: Humanitarian Assistance

AR Budget Sub-Category: Humanitarian Assistance

Primary Code: **HUAS**

Description: Humanitarian Assistance

Definition: Activities with a primary purpose of saving lives, reducing suffering associated with natural or man-made disasters, and reestablishing conditions necessary for political and/or economic development.

Point of Contact: Harold Gray 712-4492

Pillar: DCHA

AR Budget Category: Conflict Prevention

AR Budget Sub-Category: Conflict Prevention

Primary Code: **DGCP**

Description: Conflict Management and Mitigation

Definition: Activities with a primary purpose of reducing the threat of violent conflict by promoting peaceful resolution of differences, mitigating violence if it has already broken out, and/or establishing a framework for peace and reconciliation in an ongoing conflict. Activities link directly to overt violence and would not exist absent of violent conflict, or the imminent threat of such. Activities include: negotiation and implementation of peace accords; mediation of specific disputes; community-based reconciliation; support for restorative justice, including peace and reconciliation commissions; and psychosocial counseling.

Point of Contact: Elisabeth Kvitashvili 712-0197 or Linda Howey 712-1953

SECONDARY EMPHASIS CODES

Group: **MIRROR SECONDARY CODES**

Definition: Mirror secondary codes provide for the ability to report on the totality of programs addressing a single sector. For example, many agriculture activities also intersect with natural resource management activities. These codes should only represent amounts that are additional to amounts coded through the primary code.

Group: **ECONOMIC GROWTH**

Definition: When an activity includes one or more components that promote the increase of national and personal incomes through the development of competitive market economies, but are not the primary purpose of the activity, secondary codes should be used to reflect the contribution of those components.

Group: Economic Growth

Code: **EGE**

Description: Enterprise Development

Definition: Activities designed to develop private enterprises either directly or through specific improvements in the business growth environment. Activities include efforts to expand access of private enterprises (including small- and medium-sized enterprises) to domestic and international markets either by strengthening individual companies, building ‘competitiveness clusters,’ or through other kinds of sector wide or sub-sector initiatives. This code excludes microenterprise development (see PRM).

Group: Economic Growth

Code: **EGP**

Description: Privatization

Definition: Activities designed to transfer government-owned or government-controlled enterprises and assets to private individuals, groups of individuals (e.g., employees) or companies. Activities include efforts to support the process of privatization, including changes in legal and regulatory structures that facilitate/promote privatization, competition, and private provision of public services.

Group: Economic Growth

Code: **EGL**

Description: Legal and Institutional Reform

Definition: Activities designed to reform laws, regulations, and/or public organizations to promote open, competitive, and trade- and investment-friendly economies. Activities include efforts to: develop institutional capacity; support legal assessments; draft and enact legislation; and support enforcement of and compliance with economic laws and regulations.

Group: Economic Growth

Code: **EGF**

Description: Financial Markets

Definition: Activities designed to strengthen financial markets. Activities include: improvements in central banking; financial regulation and supervision; pension and insurance reform; capital market development and regulation; asset management; and support for the development or expansion of specific financial markets and private financial institutions.

Group: Economic Growth

Code: **EGM**

Description: Macroeconomic Policy Reform

Definition: Activities designed to encourage macroeconomic policy reforms supportive of broadly-accessible economic freedom and opportunity. Activities involve: monetary, fiscal, public expenditure; trade and exchange rate; national income accounting; labor market analysis; and other economy-wide reform policies.

Group: Economic Growth

Code: **ITR**

Description: Transport

Definition: Activities designed to improve infrastructure designed to speed up the flow of goods and services. Activities include: engineering design; procurement of equipment; new construction or rehabilitation of roads, rail, and port facilities; reform of management, financial and/or operational performance of transport systems.

Group: Economic Growth

Code: **PRM**

Description: Microenterprise Development

Definition: Activities designed to expand informally-organized businesses – excluding crop production – operated by the poor and employing fewer than 10 persons. Activities involve: institutional and product development for the provision of all forms of financial assistance; business development services; and policies to improve the environment for microenterprise expansion.

Group: Economic Growth

Code: **PRU**

Description: Urban Development for the Poor

Definition: Activities designed to promote improved quality of life for the urban poor. Activities involve: strengthening infrastructure to promote pro-poor urban governance processes; expanding employment opportunities for poor urban dwellers; expanding access to housing, education, and social services for the urban poor; and reforming related policy and regulatory frameworks and institutions.

Group: Economic Growth

Code: **PRS**

Description: Social Protection/Safety Nets

Definition: Activities to promote the development of sustainable and affordable safety nets for food, housing and other basic needs. Activities include: targeted income supplements; delivery of food aid and other humanitarian assistance; and pension or other wage compensation support.

Group: **AGRICULTURE**

Definition: When an activity includes one or more components that promote the production, processing and distribution of food, fiber, and other crop, forestry, and livestock products (e.g., flowers, leather) for human consumption but are not the primary purpose of the activity, secondary codes should be used to reflect the contribution of those components.

Group: Agriculture

Code: **AGP**

Description: Agricultural Production and Productivity

Definition: Activities designed to increase the quantity or quality of production of crops, fish, or livestock intended for human consumption. Activities include efforts to: increase production of animal feed; improve health care for fish or animals; produce fiber for family or commercial use; develop and promote the use of new technologies; train farmers; develop cooperatives; and organize community resource management or production.

Group: Agriculture

Code: **AGB**

Description: Agribusiness, Markets and Trade

Definition: Activities designed to enhance commercial production, marketing, and agricultural product (crops, fish, livestock, nonfood products such as flowers or fiber) sales and inputs (fertilizers, seeds, etc.) in local, regional, and international markets. Activities aim to develop markets and build the capacity of farmers' organizations and countries to trade in those markets (e.g., training in sanitary-phytosanitary standards).

Group: Agriculture

Code: **AGA**

Description: Agricultural Policies and Institutions

Definition: Activities designed to support the development of sectoral policies, action plans and institutions that promote the growth of the agricultural sector and its ability to meet both food and income needs. Activities include: national or regional agricultural sector or subsector assessments; negotiation of regional or international policies and regulations related to agriculture; development of statistics or other analytical tools to measure agricultural variables; formulation of policies and action plans to manage the challenge of HIV/AIDS in agriculture; coordination of agricultural programs with other donors; and the general development of science and technology policies and institutions that support agriculture.

Group: Agriculture

Code: **AGR**

Description: Rural Development

Definition: Activities designed to integrate agricultural development efforts within a larger context of regional development, rural development, and/or multisectoral development in largely rural areas. Activities include community-based natural resource management to promote agricultural production, wildlife conservation, and management of water resources for both production and domestic uses.

Group: **ENVIRONMENT**

Definition: When an activity includes one or more components that manage or conserve the natural environment so that present uses do not irreversibly compromise future uses, but are not the primary purpose of the activity, secondary codes should be used to reflect the contribution of those components.

Group: Environment

Code: **NRB**

Description: Biodiversity Conservation

Definition: Activities have biodiversity conservation as an explicit, but not primary, objective in natural and managed terrestrial and aquatic ecosystems. Activities are identified through an analysis of the threats to biodiversity and have associated indicators for biodiversity conservation. Activities may be site-based or not site specific, such as policy level initiatives. Site-based work is implemented in biologically significant areas. *Ex situ* conservation of wild species, and their germplasm, may also be included when explicitly linked to biodiversity conservation.

Group: Environment

Code: **INE**

Description: Energy

Definition: Activities designed to increase access to environmentally sound energy and improved environmental management practices. Activities include efforts to: promote clean energy technology; improve policy, legal, and regulatory energy frameworks; increase institutional capacity; and augment public participation in decision-making regarding delivery of energy and related environmental management services.

Group: Environment

Code: **NRF**

Description: Forest Resources

Definition: Activities designed to promote ecologically sustainable management of forests and other tree systems. Activities include: production of forest products; agroforestry; integrated watershed protection using forest resources; restoration of degraded lands; maintenance of sustainable forest habitat for animals; forest certification programs; activities to reduce illegal or destructive logging; and research, policy, or regulatory reform in support of forest resource management.

Group: Environment

Code: **NRL**

Description: Non-forest Land Resources

Definition: Activities designed to support or promote ecological sustainability on nonforest land. Activities include: mapping to classify and/or integrate information about land resources (soil, water, slope, capability); management of soils and grasslands; reversal of desertification through a range of non-forest interventions; integrated pest management; and promotion of policy, institutional, and regulatory reform for terrestrial natural resource management and use.

Group: Environment

Code: **NRW**

Description: Fresh Water Resources

Definition: Activities designed to promote sustainable management of fresh water resources. Activities involve river basins, aquifers, and lakes used for potable water, fresh water fisheries, agricultural, industrial, and urban uses. Activities address: water quality and supply; water policy; and integrated water resources management. An activity in which irrigation development is undertaken to support increased production/productivity should be coded as AGP rather than as NRW. An activity in which management of irrigation systems to assure access to water by both producers and urban water consumers should be coded as NRW.

Group: Environment

Code: **NRC**

Description: Coastal Resources

Definition: Activities designed to promote conservation and sustainable management of coastal resources for fishing, tourism, and other types of environmental services. Activities include development and implementation of policies and institutions, including communities, to improve short and long-term management of coastal resources. Exclude marine protected areas (see NRB).

Group: Environment

Code: **NRG**

Description: Global Climate Change

Definition: Activities designed to address global climate change. Activities include: preparing greenhouse gas inventories and actions plans; promoting achievement of the goals of the UN Framework Convention on Climate Change; reducing, measuring, monitoring or reporting greenhouse gas emissions; and assessing or reducing vulnerability while increasing adaptation to the impacts of climate change.

Group: Environment

Code: **ITS**

Description: Sanitation, Waste Management

Definition: Activities designed to increase access to sanitation and waste management services. Activities include: financing for construction of infrastructure; engineering design; procuring equipment; construction; and organizing development and policy reforms for management, operation, or accessibility of sanitation and waste management systems.

Group: **EDUCATION**

Definition: When an activity includes one or more components that promote the development of education and training systems and increase the access of citizens to opportunities to acquire the skills they need but are not the primary purpose of the activity, secondary codes should be used to reflect the contribution of those components.

Group: Education

Code: **EDB**

Description: Children's Basic Education

Definition: Activities designed to provide basic skills to enhance participation in the economy, development of democratic values, and nation building. Basic education includes early childhood development, primary school, literacy and numeracy, community/school support, school management and education policy. Activities focus on development of: statistical records; teacher training; curriculum; management information systems that enable education leaders and managers to plan for efficient system growth; and general support for pre-primary, primary and secondary education.

Group: Education

Code: **EDA**

Description: Adult Literacy

Definition: Activities designed to enable adolescents and adults to acquire basic skills and knowledge (including literacy and numeracy) for social and economic participation.

Group: Education

Code: **EDS**

Description: Secondary Education

Definition: Activities designed to provide formal secondary education to enhance participation in the economy, development of democratic values, and nation building. Activities include the development of: secondary education curricula; school management and education policy; and management information systems that enable education leaders and managers to plan for efficient system growth.

Group: Education

Code: **EDW**

Description: Workforce Development

Definition: Activities designed to help youth and adults acquire the knowledge and skills to find work and stay employed in a changing economy. Activities include the establishment or improvement of formal and informal systems to increase private investment in on-the-job training.

Group: Education

Code: **EDH**

Description: Higher Education

Definition: Activities designed to expand the role of institutions of higher learning in providing sustainable education and training services relevant to local development needs/job markets. Institutions include: universities, community colleges and research and other advanced technical institutions. Activities involve: strengthening of curricula; improved management of institutions; and development of policies and programs that provide equitable access to higher education for all members of society.

Group: Education

Code: **ICT**

Description: Information/Communication Technology

Definition: Activities designed to develop infrastructure, sectors and systems which apply information and communication technology to achieve a wide array of development objectives. Activities include: policy, legal, and regulatory reform; support for infrastructure; training for both public and private sector participants; development of community, national, and regional telecommunication and computer information systems; and efforts to bridge the “digital divide” and increase investments in the sector, especially to reach the underserved.

Group: Education

Code: **EDT**

Description: Training

Definition: Activities designed to create human capital to support economic, social and democratic development. Training may be conducted in or outside the host country; it may be short or long-term and in any of a range of subject areas.

Group: **CROSS-CUTTING CODES**

Definition: This group of codes addresses cross-cutting themes that are of particular interest. They include the major initiatives and administration priorities and are used to support actual and projected levels for these areas. The amounts included here should be to total amount for the special concern area, including any amounts that may have been coded as a primary code, or any other secondary code.

Group: Cross-Cutting

Code: **INV**

Description: Invasive Species

Definition: Activities with a significant component devoted to controlling, eradicating or preventing the introduction of “invasive species.” Invasive species are any non-native species in a country that has been introduced, by intent or by accident that causes or is likely to cause harm to the economy, human health or the environment. Invasive species can be plants, animals or other organisms.

Group: Cross-Cutting

Code: **TCB**

Description: Trade Capacity Building

Definition: Trade Capacity Building activities assist developing and transition countries in building their capacity to participate in and benefit from the global trading system. Assistance is provided to help countries become aware of, accede to, and participate in the World Trade Organization and build the physical, human, and institutional capacity to participate in and benefit more broadly from rules-based trade.

Group: Cross-Cutting

Code: **BIO**

Description: Agricultural Biotechnology

Definition: Activities include research and technology development involving the use of modern molecular biology such as genetic engineering of crops and livestock vaccines, development of molecular markers to assist breeding, molecular diagnostic tools for plant and animal diseases, and environmental risk assessment and management research. In addition,

biotechnology includes related policy development such as intellectual property rights, biosafety regulatory development, and public outreach. Finally, training, capacity building and institutional development related to the aforementioned areas of biotech are included in this definition.

Group: Cross-Cutting

Code: **GEQ**

Description: Gender Equality

Definition: Activities specifically designed to promote more equal access by women and men to socially and economically valued goods, opportunities, resources and rewards, including those that address gender inequality as a development constraint or a human rights issue. Interventions include: activities that specifically target women and girls (e.g., girls' education, micro-loans for women); and activities directed at men as well as women where the objective is to overcome gender inequality (e.g., educating judges about women's legal rights, promoting male responsibility for maternal-child health). Activities also include collection of sex-disaggregated data and gender analysis. Note: This code is not intended to identify every activity where women are beneficiaries but to identify those activities that are designed to reduce gender inequality.

Group: Cross-Cutting

Code: **NUT**

Description: Nutrition and Health

Definition: Activities that assist in accomplishing the Millennium Development Goal of reducing the prevalence of underweight children and reducing the proportion of the population below the minimum level of dietary energy consumption. These activities address the multiple causes of undernutrition. Direct activities include: increasing food consumption and the provision of nutrition education, care and health. Indirect activities include increasing agricultural production, biofortification of food crops and food products, increasing employment opportunities, addressing the status of women, and improving/developing service delivery systems.

Group: Cross-Cutting

Code: **DAD**

Description: Dairy Development

Definition: Activities that assist small dairy producers, processors and service providers maximize their abilities to increase milk yields; produce higher quality and value-added dairy products; educate consumers; and increase cash incomes to small farmers, especially women who are the primary caretakers of dairy animals; macro-dairy development (production, processing, marketing); and cooperative or producer association building.

Group: Cross-Cutting

Code: **DRW**

Description: Drinking Water

Definition: Activities with a significant component devoted to the provision of potable domestic water supply for drinking and household use in rural, urban and peri-urban settings. Specific areas of activity may include: design, engineering and construction of water supply equipment, works, facilities for collection, storage, treatment or delivery of potable water at all scales; citizen organization, governance strengthening and capacity building to sustainably manage community or municipal water supply systems; protection and management of groundwater or surface water supply sources upon which these systems rely; household level management of water storage, transport, and water disinfection; and development of mechanisms for sustainable financing of water supply infrastructure.

Group: Cross-Cutting

Code: **ILL**

Description: Illegal Logging

Definition: Illegal logging refers to destructive logging conducted in contravention of national laws. Activities to discourage, deter and eliminate illegal logging and trade of illegal wood products include: strengthening of forest monitoring, law enforcement and governance; community participation in forest management and protection; transparent use of forest data; promoting good business practices; forest certification and trade of legally-sourced forest products; and supporting compliance with the Convention on International Trade in Endangered Species (CITES).

Group: Cross-Cutting

Code: **EVS**

Description: Ecoevaluation

Definition: Activities with a significant component devoted to ecoevaluation, in particular demonstrating in dollar terms the values of non-traded ecosystem functions (e.g. provision of habitat, carbon cycling) or services (e.g. support of the food chain, provision of clean water or scenic views), or providing evidence that investments in the management or protection of these services or functions are producing the maximum environmental benefits, or acknowledging explicitly ecosystem functions or services to which market values cannot usefully be assigned (e.g. spiritual values).

Group: Cross-Cutting

Code: **EDD**

Description: Distance Education

Definition: Activities designed to bring learning opportunities to individuals unable to access them from a locally qualified source.

Group: Cross-Cutting

Code: **REN**

Description: Renewable Energy (hydro, solar, wind)

Definition: Activities which promote the use of renewable energy technologies. Activities can be directed at overcoming market and institutional barriers to the penetration of renewable energy systems. Renewable energy technologies use indigenous fuel resources such as hydro, biomass and biogas (e.g., crop residue, animal waste), geothermal, wind, photovoltaic (PV), and solar thermal to generate electricity and power, and do not contribute to global climate change.

Group: Cross-Cutting

Code: **TWC**

Description: Trafficking in Persons

Definition: Activities with a primary purpose of curtailing the recruitment, transportation, purchase, sale, transfer or harboring of women or children (male or female) within or across national borders into sexually or economically exploitive situations, illegal activities, such as forced domestic labor, clandestine employment, false adoption and marriage, slavery and/or involuntary abduction into armed conflict. Activities include awareness, prevention, repatriation, rehabilitation, protection, prosecution, and advocacy programs.

Group: Cross-Cutting

Code: **FAM**

Description: Famine Prevention, Mitigation and Recovery

Definition: Activities designed to protect the chronically food insecure, break the cycle of food crises, and build conditions for sustained growth. Activities include: meeting health, education, and sanitation needs to prevent loss of life from disease; providing opportunities to build assets; establishing information systems, developing models, and conducting analysis to support early warning monitoring and longer term development planning and policy management; and building markets and raising productivity of strategically important food products.

Group: **RESEARCH CODES**

NOTE: Coding for Research and Development is a mandatory annual reporting requirement for USG Agencies

Definition: USAID Definition of Research (Agency Policy on Research, 1997): Research is defined as the systematic investigation of a well-defined problem. USAID supports research that is intended to produce knowledge that will offer solutions to specific development challenges. The research process incorporates a well-defined hypothesis, a defined methodology for the gathering of information, analysis of data and interpretation of the data to formulate conclusions. This definition includes research, experimentation and product development in all fields.

The following activities are NOT research: routine product testing, quality control, geographic mapping, collection of general purpose data and statistics, experimental production, routine monitoring and evaluation of operational programs, and the training of scientific and technical personnel. Surveys (including Demographic Health Survey) and routine data collection are not included unless they are a component of a research activity.

The research classifications of Development Research, Basic Research and Applied Research are defined in OMB Circular No. A-11 (2002), Section 84-8. USAID funded research is only captured by Applied Research and Development Research codes.

The sum of these secondary codes must equal 100 percent of the research and development supported in a given activity.

Group: Research

Code: **RDV**

Description: Development Research

Definition: Development is defined as the systematic application of knowledge or understanding, directed toward the production of useful materials, devices, and systems or methods including design, development and improvement of prototypes and new processes to meet specific requirements.

Group: Research

Code: **RBS**

Description: Basic Research

Definition: Basic research is defined as the systematic study directed toward fuller knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications toward processes or products in mind. Note: USAID funded research is **only** captured by Applied Research and Development Research codes.

Group: Research

Code: **RAR**

Description: Applied Research

Definition: Applied research is defined as systematic study to gain knowledge or understanding necessary to *determine the means* by which a recognized and specific need may be met.

Group: **NON-GOVERNMENTAL ORGANIZATIONS (NGOs) AND PRIVATE VOLUNTARY ORGANIZATIONS (PVOs) SECONDARY CODES**

Definition: An NGO is defined as a non-governmental organization, organized either formally or informally, that is independent of government (although, for coding purposes, the term excludes for-profit enterprises and religious institutions except for religiously affiliated development organizations). Note: USAID does not propose to establish a code for NGOs because the category would be too broad to be helpful.

A PVO is defined as a private non-governmental organization (but not a university, college, accredited degree-granting institution of education, private foundation, institution engaged solely in research or scientific activities, labor union, political party, a church or other organization engaged exclusively in religious activity) which:

- * is organized under the laws of a country;
- * receives funds from private sources;
- * is nonprofit with appropriate tax exempt status, if the laws of the country grant such status to nonprofit organizations;
- * is voluntary in that it receives voluntary contributions of money, staff time, or in-kind support from the public; and
- * is engaged in voluntary charitable or development assistance activities, other than religious, or anticipates doing so..

For coding purposes, PVO also includes cooperative development organizations (CDOs) i.e. cooperatives, which are considered "not-for-profit" organizations rather than "nonprofits."

Group: Private Voluntary Agencies (PVOs)

Code: **PVU**

Description: United States PVO

Definition: U.S. PVO organized in the United States, whether or not registered with USAID.

Group: Private Voluntary Agencies (PVOs)

Code: **PVL**

Description: Local PVO

Definition: A local PVO operating in the country under whose laws it is organized.

Group: Private Voluntary Agencies (PVOs)

Code: **PVI**

Description: International, Third Country PVO

Definition: A third country PVO or international PVO not included in PVU or PVL above.

Group: Private Voluntary Agencies (PVOs)

Code: **CDO**

Description: Cooperative Development Organization

Definition: Cooperative Development Organization - A private association of persons joined together to achieve a common economic objective. It is an enterprise owned jointly by those who use its facilities or services and where any profits are returned to those same users.

Annex B: Dept. of State/USAID Strategic and Performance Goals

Regional Stability

- Close, strong, and effective U.S. ties with allies, friends, partners, and regional organizations
- Existing and emergent regional conflicts are contained or resolved

Counterterrorism

- Coalition partners identify, deter, apprehend, and prosecute terrorists
- U.S. and foreign governments actively combat terrorist financing
- Coordinated international prevention and response to terrorism, including bioterrorism
- Stable political and economic conditions that prevent terrorism from flourishing in fragile or failing states

Homeland Security

- Denial of visas to foreign citizens who would abuse or threaten the U.S., while facilitating entry of legitimate applicants
- Implemented international agreements stop the entry of goods that could harm the U.S., while ensuring the transfer of bona fide materials
- Protection of critical physical and cyber infrastructure networks through agreements and enhanced cooperation

International Crime and Drugs

- International trafficking in drugs, persons, and other illicit goods disrupted and criminal organizations dismantled
- States cooperate internationally to set and implement anti-drug and anti-crime standards, share financial and political burdens, and close off safe-havens through justice systems and related institution building

Democracy and Human Rights

- Measures adopted to develop transparent and accountable democratic institutions, laws, and economic and political processes and practices.
- Universal standards protect human rights, including the rights of women and ethnic minorities, religious freedom, worker rights, and the reduction of child labor

Economic Prosperity and Security

- Institutions, laws, and policies foster private sector-led growth, macroeconomic stability, and poverty reduction
- Increased trade and investment achieved through market-opening international agreements and further integration of developing countries into the trading system
- Secure and stable financial and energy markets
- Enhanced food security and agricultural development

Social and Environmental Issues

- Improved global health, including child, maternal, and reproductive health, and the reduction of abortion and disease, especially HIV/AIDS, malaria, and tuberculosis
- Partnerships, initiatives, and implemented international treaties and agreements that protect the environment and promote efficient energy use and resource management
- Broader access to quality education with emphasis on primary school completion
- Effective and humane international migration policies and systems

Humanitarian Response

- Effective protection, assistance, and durable solutions for refugees, internally displaced persons, and conflict victims
- Improved capacity of host countries and the international community to reduce vulnerabilities to disasters and anticipate and respond to humanitarian emergencies

Public Diplomacy and Public Affairs

- Public diplomacy influences global public opinion and decision-making consistent with U.S. national interests
- International exchanges increase mutual understanding and build trust between Americans and people and institutions around the world
- Basic human values embraced by Americans are respected and understood by global publics and institutions
- American understanding and support for U.S. foreign policy, development programs, the Department of State, and USAID

Management and Organizational Excellence

- A high performing, well-trained, and diverse workforce aligned with Mission requirements
- Modernized, secure, and high quality information technology management and infrastructure that meet critical business requirements
- Personnel are safe from physical harm and national security information is safe from compromise
- Secure, safe, and functional facilities serving domestic and overseas staff
- Integrated budgeting, planning, and performance management; effective financial management; and demonstrated financial accountability
- Customer-oriented, innovative delivery of administrative and information services, acquisitions, and assistance

Annex C: Program Areas and Program Components: Definitions

Economic Prosperity and Security

- 1. Increase Participation in Global Trade and Investment:** Activities whose primary purpose is to enhance the contribution of international trade and investment to economic growth, development and poverty reduction. This includes: support for analysis of trade liberalization initiatives, participation in international trade negotiations, and strengthening capacity to make and administer trade policy; assistance in implementing trade and investment agreements and meeting regulatory and market-driven trade and investment standards; and building the capacity of public and private sectors – and societies at large – to respond to, and benefit from, opportunities created by global trade and investment.
- 2. Improve Economic Policy and Governance:** Activities whose primary purpose is to improve microeconomic and macroeconomic policy and institutional frameworks and operations for economic stability, efficiency, and growth. These include activities in both non-agricultural and agricultural sectors that provide the appropriate environment of policies, regulations, institutions, and overall economic governance to enable and encourage private sector-led growth. Illustrative activities include: analysis, design and implementation of key macroeconomic policy reforms in areas such as monetary, fiscal, trade, and exchange rates; improvements to the regulatory environment in areas such as competition, energy, trade, transport, and telecommunications; the strengthening of key economic institutions, such as ministries of finance and central banks; and support for policy, institutional studies, and research.
- 3. Increase Private Sector Growth:** Activities whose primary purpose is to support the creation and growth of private enterprises and private trade, and industry sector and business associations in both the agricultural and non-agricultural sectors. This support includes efforts to enhance competitiveness and strengthen corporate governance in domestic and global markets. Activities that serve to raise production standards and improve marketing, create/strengthen value chain linkages and support policy (and regulatory) advocacy to remove impediments to productive investments are also included. Support for enterprises that derive income from sustainable management and use of natural resources are also part of this component.
- 4. Strengthen the Financial Sector's Contribution to Economic Growth:** Activities whose primary purpose is to enhance the efficiency of the financial sector by deepening the availability of short- and long-term financing instruments. This support includes strengthening of urban and rural financial markets' legal and regulatory infrastructure, supporting public confidence in depository institutions and other financial intermediaries, lowering market risks and costs of prudent lending, minimizing factors that add to transaction costs and intermediation margins, and expanding the range of, and access to, commercially viable financial services. This component runs the gamut from support for commercial banking to support for more non-traditional financial services such as micro-finance, insurance, pensions, remittances, suppliers' credits, capital markets and other forms of financial intermediation. Activities will also focus on accounting standards and regulations that promote transparency in transactions and combat corruption and money laundering. Other activities may include secured lending, contract enforcement or other factors that affect the evaluation, pricing and management of risk.

5. Expand and Improve Access to Economic and Social Infrastructure (energy, ICT, telecommunications, transportation, power, irrigation, schools and health clinics): Activities whose purpose is to improve access to clean and affordable energy technology and services; expand access to, and application of, information and telecommunications services; expand equitable use of transportation and distribution infrastructure; and expand access to technologies that increase the productive and equitable use of infrastructure. In the energy sector, sub-sectoral areas include: fuels extraction, transportation, processing, and distribution; electricity generation, transmission, and distribution; distributed power generation in rural and urban areas for productive uses; and reform of distribution networks in urban areas to increase access to energy. In the information, communications, and telecommunications sector, sub-sectoral focus areas include: reforms to promote greater competition and participation of the private sector in telecommunications; support for the development of applications and content in areas such as e-government and e-commerce; expanded access for the disadvantaged to affordable information and communication technologies. In the transport sector, activities may include regulatory reform to promote private participation, promotion of airport, container and port security, and reforms to increase the efficiency and effectiveness of ministries of public works.

6. Increase Agricultural Productivity: Activities whose primary purpose is to increase licit agricultural productivity in an environmentally sustainable manner. Illustrative activities include agricultural research and outreach, agricultural technology innovation and transfer, management and conservation of natural resources utilized for agricultural production in an environmentally sound manner, agricultural/rural policy analysis and reform, and support for agricultural education and training, and alternative crop substitution.

7. Protect and Increase the Assets and Livelihoods of the Poor during Periods of Stress: Activities that help the poor protect their productive assets and minimize harmful survival strategies in times of stress, establish or reestablish livelihoods after a shock, reduce risks to their livelihoods, and increase and diversify their sources of income to make them less vulnerable to external shocks, such as natural disasters or economic downturns, and better able to take advantage of opportunities that will lift them out of poverty. Illustrative activities include the development of new insurance products and productive social safety nets, public works to protect and improve productive infrastructure, and training and technical assistance to reduce risks during the agricultural production and related economic cycles.

Environment

8. Improve Sustainable Management of Natural Resources and Biodiversity Conservation: Activities whose primary purpose is to support sustainable land, water, and soil use and to conserve biological diversity in natural and managed forest, terrestrial and aquatic ecosystems. Activities may be site-based or not site specific, such as policy-level or research initiatives. This also includes support for building the capacity of communities to manage their own natural resources; education and communication activities aimed at changing human practices; and efforts to improve the management of natural resource conflicts.

9. Reduce, Prevent and Mitigate Pollution: Activities whose primary purpose is to support cleaner industrial, energy and urban development. This includes support for improved policies and regulations, design and dissemination of technologies aimed at reducing/preventing pollution; finance for investment

in such technologies, and organizational development for public, civil society and private institutions that promote these technologies.

10. Improve Access to Clean Water and Sanitation: Activities whose purpose is to provide greater access to clean water and sanitation for households and communities. This includes organizational, technical and financial support for water and sanitation services.

Education

11. Improve the Quality of Basic Education: Activities whose primary purpose is improving the provision of basic skills required for participation in the economy, development of democratic values, and nation-building. Basic education includes early childhood development, primary and secondary schools and stand alone literacy and numeracy programs for all age groups including adults. Activities may include curriculum development, the development of data collection and transfer systems, management information systems that enable school administrators and managers to plan for efficient growth, strengthening school systems' ability to meet the issue of HIV/AIDS, promoting teacher education, reforming education policy and systems, supporting educational decentralization, and improving sector management. Activities may also include efforts to improve access to basic education for girls, women and underserved populations. Activities will include secular programs in predominantly Muslim communities as an alternative to madrassahs.

12. Improve Institutions of Higher Education: Activities whose primary purpose is to expand the development role of institutions of higher education (or, enable institutions of higher education to sustainably provide education and training services that are relevant to local development needs). Such institutions include: universities, community colleges, and research and other advanced technical institutions. Activities could involve strengthening of curricula, improved management of institutions, and development of policies and programs that provide equitable access to higher education for all members of society.

13. Improve Quality of Workforce: Activities whose primary purpose is helping youth and adults to acquire the knowledge, skills, and behavior to find legal work and stay employed in a changing economy. Activities may include ministerial and inter-ministerial policy changes and programs to establish and improve formal and informal workforce development systems, adult post-literacy and learning-livelihood services, school-workplace-community-based job readiness programs, and on-the-job training. A special focus of this program will be in predominant Muslim communities with high youth unemployment or underemployment.

Family and Workforce Health

14. Reduce transmission and impact of HIV/AIDS: This component should be used for programs funded with USAID-administered AIDS funds, whether initially appropriated to USAID or other USG agencies. HIV/AIDS program activities include prevention, care and support, treatment, program monitoring, and support to children and women, especially orphans and vulnerable children, affected by HIV/AIDS. Reducing mother-to-child transmission, promoting injection safety and increasing blood safety are important parts of this component, as are counseling and testing, provision of condoms,

support for the purchase of drugs and related commodities for HIV/AIDS, opportunistic and sexually-transmitted infections.

15. Prevent and control infectious diseases of major importance: Attention is being given to five key areas: strengthen the response to the global tuberculosis epidemic; expand prevention and treatment efforts focused on malaria; strengthen disease surveillance and response capacity of selected countries; slow the emergence and spread of antimicrobial resistance; and provide strategic support for the prevention and control of other infectious diseases of major importance.

16. Reduce non-communicable diseases and injuries: This component supports cost-effective interventions including research, surveillance, gender analyses, advocacy, monitoring and evaluation tools, and replication of proven approaches to reduce non-communicable diseases and injuries (NC/I) that pose the greatest public health burden on workforce-age populations. NC/I include cardiovascular disease, cancer, respiratory disease, diabetes, mental illness, and injuries such as auto accidents, disabilities, suicide, and sexual and domestic violence. Prevention activities are emphasized, such as reduction of major risk factors, promotion of individual and community responsibility for health, and strong links to health systems reform and other health programs (e.g., HIV/AIDS, maternal and reproductive health).

17. Improve child survival, health and nutrition: This component supports the development and implementation at scale of effective programs delivering high impact interventions that prevent or reduce illness, mortality and malnutrition among newborns, infants, and children under age five. These interventions include the promotion of appropriate breastfeeding and young child feeding; delivery of critical micronutrients including vitamin A, zinc, iron, and iodine; immunization with existing and new vaccines; prevention and treatment of diarrhea and pneumonia, including environmental interventions directly aimed at preventing these illnesses; supplementary and therapeutic feeding; and interventions aimed at improving survival and healthy outcomes for newborns. While food supplementation may be used to treat and prevent malnutrition, it also can be used for supporting participation in activities that improve overall survival, health and diet. In HIV-prevalent environments, this programming may include integration of these interventions with HIV programs.

This component provides direct support for programs delivering these interventions, as well as support for applied, operations, and evaluation research aimed at strengthening the evidence base for effective child health and nutrition policies and programs; development of appropriate behaviors by families, communities, and health care providers in the public and private sector targeted to improve equitable access to, and use of, these interventions; and strengthening the key elements of health systems. Where health systems strengthening interventions are integrated with those supporting other health program components, the systems health program component should be used; where the systems strengthening interventions support only the child health component (e.g. vaccination cold chain not as part of an overall logistics system, they should be included in this component.

18. Improve maternal health and nutrition: Key elements of effective maternal survival, health and nutrition programs and those interventions provided to mothers that affect newborn outcomes are included in this component. These programs include birth preparation, including birth spacing, nutrition (including micronutrient supplementation and fortification as well as supplemental feeding) and infection control; antenatal, safe delivery, postpartum and newborn care; management of obstetric and

immediate newborn complications; and prevention and treatment of maternal disabilities, such as anemia and obstetric fistula. Food supplements may be used to treat and prevent malnutrition while supporting participation in activities that improve overall survival, health and nutrition. This component also includes malaria, STI, and HIV prevention and treatment targeted at pregnant women. Policy development, community mobilization, behavior change, training, service delivery, quality improvement, personnel management, drugs and commodity availability, research and monitoring and evaluation targeted primarily to maternal health and nutrition programs are included, but use the systems component if such health system elements are integrated for multiple health program components.

This component promotes skilled attendance at birth, targets vulnerable populations, advances evidence-based standards, and delivers compassionate, high-quality care to promote maternal and peri-natal health.

19. Reduce unintended pregnancy and improve healthy reproductive behavior: Support for the key elements of effective family planning programs—service delivery, training, performance improvement, contraceptive availability and logistics, health communication, biomedical and social science research, policy analysis and planning, and monitoring and evaluation--as well as the systems improvements necessary to sustain such programs. (See also: Health Systems Component, in cases where such systems improvements are integrated with those in support of other health program components.) Post-abortion care, integration of family planning with antenatal and postnatal care, and integration of family planning with HIV and STI prevention and treatment are also part of this component. Investments in basic education especially for girls will be an important complement to this component.

USAID's FP/RH program is founded on the principles of voluntarism and informed choice and seeks to enhance the ability of couples to decide the number and spacing of their children. The program makes substantial contributions to reducing maternal mortality due to unintended pregnancy and abortion; to reducing infant and child mortality through birth spacing; and to reducing population pressures on natural resources. Provision of abortion services or promotion of abortion as a method of family planning is prohibited.

20. Build health systems capacity: Health systems capacity strengthening activities serve to improve the equity, effectiveness, efficiency, accessibility, and sustainability of health systems in order to improve delivery and use of priority health interventions and services in the community, and in the private and public sectors. This component includes health financing and resource allocation; human resource development through improved workforce policies and quality assurance activities; pharmaceutical supply management to ensure the availability and appropriate use of pharmaceuticals and other commodities of assured quality; information systems management including monitoring and evaluation activities; management and leadership capacity development; technology assessment; and policy analysis and reform assistance. These health systems activities bridge and support USAID's other key strategic health components; it should be used where systems improvements are undertaken in support of multiple other health program components. Where only one health program component is supported, such activities should be considered part of that health program component.

Democracy, Governance, and Human Rights

21. Improve Justice Sector/Legal framework: Programs in this area seek to improve the way laws and institutions work to uphold democratic practices. Programs focus on improving the framework of laws, including the constitution, codes, laws, regulations; and improvement of justice sector institutions. Public sector institutions include the judiciary, the legislature (especially the judicial committee), the prosecutors' office, public defenders, the ombudsman's office, law enforcement forces, regulatory bodies, and public law schools and bar associations. Private institutions include human rights organizations, public interest law groups, legal assistance NGOs, alternative dispute resolution NGOs, and private law schools and bar associations.

22. Strengthen Democratic National Governance Institutions: This component consists of strengthening national governance institutions, including legislatures, ministries, independent agencies, and executive offices to increase their effectiveness and accountability to the people they serve. This assistance comes in the form of technical advisory services, training, material and other types of support.

23. Support Democratic Local Government and Decentralization: This component involves national and local-level support for democratic decentralization of political authority and effective, democratic local governance. Technical assistance and training is provided to strengthen local government functions, including development of budgets, local revenue raising, provision of basic services, and community participation. Where appropriate, there will be a special emphasis in rural communities that could become sanctuaries for terrorist.

24. Promote and Support Free and Fair Elections: Election assistance promotes and supports credible administration of elections; the development of an impartial electoral framework (laws, regulations, constitutional provisions governing elections); informing and motivating citizens/voters about the election and important issues; fostering the participation of women and historically disenfranchised groups; monitoring and/or observation of the election process by local or international organizations; and, mediating disputes to ensure the peaceful transfer of power consistent with election results.

25. Strengthen Democratic Political Parties: Assistance in this category supports: (1) the development of a competitive and representative political framework (laws, regulations and constitutional provisions governing political parties); (2) building the capacity of political parties to participate effectively in elections and to govern responsibly in elected positions in national, regional and local-level government; (3) the renewal or restructuring of political parties to enable more internal democracy, (4) expanded membership, and transparent management of finances; (5) conducting opinion polls, focus groups, exit polls, and the like to help political parties better respond to constituent concerns; and (6) advocacy for the reform of political parties or of the legal framework affecting political parties (e.g. political parties laws, campaign finance reforms, etc.)

26. Strengthen Civil Society: The component seeks to 1) strengthen the institutional environment necessary for civil society to flourish and 2) strengthen civil society organizations. These organizations may engage primarily in service delivery or in advocacy or in some combination of these two principal functions. The organizations' primary characteristic is their privateness – whether for-profit or nonprofit. Laws and regulations defining and governing such organizations may vary by

country, and USAID programs may be guided by local definitions in using this component. Investments in civic education to promote pluralism and public dialogue are also included in this component. Institutional interventions and assistance to organizations may pertain to any USAID programmatic or sectoral area, whether developmental, fragile, strategic, humanitarian or global issue/special concern.

27. Establish and Ensure Media Freedom and Freedom of Information: The component consists of establishing and ensuring independent media, such as (1) shaping the legal enabling environment through media law training and advocacy, (2) strengthening constituencies for reform by building the capacity of media CSOs, (3) boosting professional capacity through developing mid-career and university journalism training courses, and (4) enhancing business development and managerial skills in the media sector.

28. Promote and Support Anti-Corruption Reforms: Promoting government institutions and policies that are transparent and accountable across all development sectors. Assistance and support is provided to independent audit agencies, anti-corruption commissions, procurement agencies, legislatures, line ministries, independent agencies, as well as civil society organizations, academia, press and the private sector. USAID focuses its effort on education and prevention in ways that support international conventions, such as the U.N. Convention on Corruption, the OAS Anti-Corruption Convention, and the OECD Anti-Bribery Convention.

29. Protect Human Rights and Equal Access to Justice: USAID works to improve due process, non-discrimination, representation of all segments of society, and the judiciary as a check on the executive. Programs support (1) effective mechanisms to prevent the abuse of rights and for remedies when rights are abused, to manage conflict peacefully, and the ability, in practice, to use these mechanisms; (2) legal aid and street law and public defender programs, including support for human rights advocacy and legal services NGOs and support for official commissions, human rights ministries, and ombudsman offices.

International Trafficking in Drugs and Persons

30. Develop and Expand Alternative Development: Activities whose primary purpose is to deter participation in the illegal narcotics trade, with the ultimate goal of disrupting the flow of illegal drugs entering the United States. Programs focus in areas of illegal drug activities and are designed to support the dismantling of international drug trafficking. They promote increased economic opportunities and strong government presence involving citizen participation to counter the negative effects that illicit activities have on democracy. Alternative development aims to increase presence and responsiveness of government and community organizations to promote the growth of licit activities and address the needs of their constituents. These needs include improved and expanded access to public services, rational resource management, and citizen oversight. Programs work with host country governments to strengthen policy and legal frameworks to counter illicit drug activity. These activities are designed to improve productive and transportation infrastructure and economic governance which generate economic capacity and encourage investment flows. These improvements include roads, bridges, docks, electricity, water and sanitation systems, licit farm and forestry production, marketing infrastructure and market expansion and on and off farm jobs.

31. Reduce Trafficking in Persons: Anti-trafficking activities supported by USAID may include activities that prevent trafficking of vulnerable persons or re-trafficking of victims; protect victims

through shelters or other services; increase the effective prosecution of traffickers; or support rescue, rehabilitation or repatriation of victims to their home countries. USAID-supported anti-trafficking activities may take place in any sector in which USAID operates. The distinguishing characteristic of anti-trafficking activities to be included under this program component is that they have a specific anti-trafficking purpose. Trafficking takes place within countries as well as across national borders. Victims of trafficking include women, children and men. Exploitation of trafficking victims may include various forms of sexual exploitation, forced labor and forced participation in armed conflict.

Conflict Mitigation

32. Support Peace Processes: Supporting peace processes includes three broad categories of activities: 1) negotiation of peace agreements, 2) mobilization of constituencies for peace and; 3) peace implementation planning. USAID assistance includes support to peace secretariats, assessment and training of official negotiating teams, civil society training for peace media/advocacy, and the development of peace process information campaigns.

33. Improve Early Warning and Response Mechanisms: Early warning and early response mechanisms promote data collection and analytic research to identify the underlying tensions that produce conflict. USAID supports worldwide, regional, national, and local early warning and response programs to promote policy decision-making and development programming that identifies potential areas of conflict and effectively addresses tensions before they erupt into violence.

34. Improve Community-Based Reconciliation Efforts: Establishing a durable and locally-owned peace following conflict requires community-based reconciliation efforts. USAID enhances community capacity to identify and address conflict stress points through training and technical assistance for restorative justice programs, peace and reconciliation commissions, community dialogue programs, and refugee and Internally Displaced Persons reintegration planning.

35. Address Conflict Transitional Issues: Transition involves seizing critical windows of opportunity in priority conflict-prone countries. Fast, flexible, and short-term assistance develops, preserves, or strengthens democratic institutions/processes and increases momentum for peaceful resolution of conflict. Transition responses include: (1) community development activities that promote participation of previously marginalized and/or conflicted groups; (2) reintegration of ex-combatants; (3) information campaigns to encourage reconciliation and informed participation in elections; (4) action plans for key government reforms; and (5) enhancing civil society organizations' abilities to engage with government officials regarding their interests and concerns.

Humanitarian Response

36. Improve Emergency Preparedness and Disaster Mitigation: This component consists of improving the ability of host countries and other partners to prepare for and mitigate the effects of disasters, including both natural disasters and complex emergencies. Activities under this component include any efforts to enhance the capacities of national host-country authorities, humanitarian assistance providers, and local communities to engage in disaster reduction and response activities.

37. Provide Emergency Assistance: Emergency assistance consists of responses to a natural disaster or complex emergency crisis. This might include deploying USAID relief personnel, providing or distributing relief commodities, or funding relief efforts undertaken by nongovernmental or international organizations.

38. Increase Food Security of Vulnerable Populations: This component seeks to enhance food availability, food access, utilization of food, and reduce the risk of future food insecurity of populations who are vulnerable because of their physiological status, socioeconomic status or physical insecurity. Activities under this component include any effort to systematically maintain or improve household food consumption, enhance household access to food, and to support the food consumption of people who have become temporarily vulnerable because of exposure to shocks.

Operations and Management

39. Promote Public-Private Alliances as a Principal Business Model: The Public-private Alliances Component is under the Operations and Management area and can be packaged with any combination of Program Components to achieve foreign aid objectives. Alliances with USAID extend the Agency's reach and effectiveness in meeting objectives by combining our strengths, resources and capabilities with those of other institutions including government entities, businesses, foundations and civil society.

Public-private alliances can incorporate a breadth of USAID and partner resources to achieve solutions best available through pooled efforts. The resources provided through alliances can be diverse including technology and intellectual property rights, market creation, best practices, policy influence, in-country networks, and expertise in addressing challenges in developing countries.

NOTE: Additional Operations and Management components are being developed for adoption at a later date.